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DEPARTMENT OF STATE
Division of Administrative Rules

NEW YORK STATE REGISTER

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- Teacher Certification in Career and Technical Education
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State agencies must specify in each notice which proposes a rule the last date on which they will accept public comment. Agencies must always accept public comment: for a minimum of 45 days following publication in the *Register* of a Notice of Proposed Rule Making or a Notice of Emergency Adoption and Proposed Rule Making for which full text was included in the Notice or posted on a state web site, or which is a consensus rule or a rule defined in SAPA § 102(2)(a)(ii); or for a minimum of 60 days following publication in the *Register* of a Notice of Proposed Rule Making or a Notice of Emergency Adoption and Proposed Rule Making for which a summary of the text of the rule was included in the Notice and the full text of which was not published on a state web site; and for 30 days after publication of a Notice of Revised Rule Making in the *Register*. When a public hearing is required by statute, the hearing cannot be held until 45 days after publication of the notice, and comments must be accepted for at least 5 days after the last required hearing. When the public comment period ends on a Saturday, Sunday or legal holiday, agencies must accept comment through the close of business on the next succeeding workday.

For notices published in this issue:
– the 60-day period expires on October 30, 2016
– the 45-day period expires on October 15, 2016
– the 30-day period expires on September 30, 2016

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NEW YORK STATE DEPARTMENT OF STATE

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NEW YORK STATE
REGISTER

Be a part of the rule making process!

The public is encouraged to comment on any of the proposed rules appearing in this issue. Comments must be made in writing and must be submitted to the agency that is proposing the rule. Address your comments to the agency representative whose name and address are printed in the notice of rule making. No special form is required; a handwritten letter will do. Individuals who access the online *Register* (www.dos.ny.gov) may send public comment via electronic mail to those recipients who provide an e-mail address in Notices of Proposed Rule Making. This includes Proposed, Emergency Proposed, Revised Proposed and Emergency Revised Proposed rule makings.

To be considered, comments must reach the agency before the proposed rule is adopted. The law provides for a minimum 45-day public comment period after publication in the *Register* of every Notice of Proposed Rule Making for which full text was included or posted on a state web site, or which is a consensus rule or a rule defined in SAPA § 102(2)(a)(ii); a minimum 60-day public comment period after publication in the *Register* of a Notice of Proposed Rule Making for which a summary of the text of the rule was included in the Notice and the full text of which was not published on a state web site; and a 30-day public comment period for every Notice of Revised Rule Making. If a public hearing is required by statute, public comments are accepted for at least five days after the last such hearing. Agencies are also required to specify in each notice the last date on which they will accept public comment.

When a time frame calculation ends on a Saturday or Sunday, the agency accepts public comment through the following Monday; when calculation ends on a holiday, public comment will be accepted through the following workday. Agencies cannot take action to adopt until the day after public comments are due.

The Administrative Regulations Review Commission (ARRC) is charged with the task of reviewing newly proposed regulations to examine the issues of compliance with legislative intent, impact on the economy, and impact on affected parties. In addition to sending comments or recommendations to the agency, please do not hesitate to transmit your views to ARRC:

Administrative Regulations Review Commission
State Capitol
Albany, NY 12247
Telephone: (518) 455-5091 or 455-2731

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NYS Department of State
One Commerce Plaza
99 Washington Avenue
Suite 650
Albany, NY 12231-0001
Telephone: (518) 474-6957

KEY: (P) Proposal; (RP) Revised Proposal; (E) Emergency; (EP) Emergency and Proposal; (A) Adoption; (AA) Amended Adoption; (W) Withdrawal

Individuals may send public comment via electronic mail to those recipients who provided an e-mail address in Notices of Proposed Rule Making. This includes Proposed, Emergency Proposed, Revised Proposed and Emergency Revised Proposed rule makings. Choose pertinent issue of the *Register* and follow the procedures on the website (www.dos.ny.gov)

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RULE MAKING ACTIVITIES

Each rule making is identified by an I.D. No., which consists of 13 characters. For example, the I.D. No. AAM-01-96-00001-E indicates the following:

AAM -the abbreviation to identify the adopting agency
01 -the *State Register* issue number
96 -the year
00001 -the Department of State number, assigned upon receipt of notice.
E -Emergency Rule Making—permanent action not intended (This character could also be: A for Adoption; P for Proposed Rule Making; RP for Revised Rule Making; EP for a combined Emergency and Proposed Rule Making; EA for an Emergency Rule Making that is permanent and does not expire 90 days after filing.)

Italics contained in text denote new material. Brackets indicate material to be deleted.

Department of Agriculture and Markets

NOTICE OF ADOPTION

Species of Ash Tree, Parts Thereof and Products and Debris Therefrom, Which Are at Risk for Infestation by the Emerald Ash Borer

I.D. No. AAM-25-16-00006-A

Filing No. 791

Filing Date: 2016-08-16

Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Repeal of section 141.2 and addition of new section 141.2 to Title 1 NYCRR.

Statutory authority: Agriculture and Markets Law, sections 18, 164 and 167

Subject: Species of ash tree, parts thereof and products and debris therefrom, which are at risk for infestation by the emerald ash borer.

Purpose: To expand and combine the 14 existing restricted zones where EAB infestations exist.

Text or summary was published in the June 22, 2016 issue of the Register, I.D. No. AAM-25-16-00006-EP.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Christopher A. Logue, New York State Department or Agriculture and Markets, 10B Airline Drive, Albany, New York 12235, (518) 457-2087, email: christopher.logue@agriculture.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2019, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

Comment:

The Department received one comment, the gist of which is that the emerald ash borer (EAB) is so widely distributed throughout the State that any further regulation of it is futile. Additionally, the comment stated that the regulations as drafted hamper landowners by prohibiting them from processing uninfested ash wood.

Response:

The EAB regulated area currently encompasses approximately 45% of the state's land area, with the spread of the insect over the past several years observed along the borders of previously regulated areas. Significantly, the insect has not been observed in the Champlain Valley, St. Lawrence area or other outlying/isolated areas, supporting the Department's belief that its quarantine strategy designed to limit the human assisted spread of the insect is having some positive effect and has afforded additional time to plan for infestation on municipal and state lands and in urban areas where ash is an important street tree.

The Department has concluded that the benefits of maintaining the quarantine outweighs the burden that it places on landowners and the forest products industry. The Department has sought to mitigate that burden, and in administering the quarantine, has endeavored to provide landowners and the forest products industry with the ability to harvest ash through the year certain, but under certain restrictions. To that end the department initiated flight season harvest permits, which allow for the harvest of uninfested ash from regulated areas. This recognizes the regional nature of processing capacity, as well as safety and access issues which make fall, winter and spring harvests difficult. To date, approximately 25 flight season harvest permits have been issued for the summer harvest.

The Department, in conjunction with the Department of Environmental Conservation, will reevaluate the quarantine incorporating 2016 trapping data in the last quarter of 2016.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Program Rules for New York State Grown and Certified

I.D. No. AAM-35-16-00017-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: This is a consensus rule making to add Part 161 to Title 1 NYCRR.

Statutory authority: Agriculture and Markets Law, sections 16, 18, 156-f and 156-h

Subject: Program rules for New York State Grown and Certified.

Purpose: Inform interested parties of the program, its purpose, participation requirements, qualifying product and rules of participation.

Text of proposed rule: Title One of the Official Compilation of Codes, Rules and Regulations of the State of New York is amended by adding thereto a new Part 161, to read as follows:

PART 161

NEW YORK STATE GROWN AND CERTIFIED PROGRAM

161.1 Purpose

This Part has been promulgated to allow producers of farm or forest products, grown, harvested, raised and bred in New York and processors and/or manufacturers of farm and forest products manufactured in New York using farm and forest products predominantly grown, harvested or *raised in the state by New York State Grown and Certified Program producers, to use the New York State Grown and Certified Seal on labels and labeling associated with such product, provided that, as more specifically set forth in this Part, the producer, processor or manufacturer has: (a) been verified to grow, harvest, raise, process and/or manufacture the product using good agricultural or handling practices; and/or (b) operates in an environmentally responsible manner.*

161.2 Definitions

For the purpose of this Part, the following terms shall have the following meanings:

(a) "Environmentally Responsible Manner" means participation in: (i) the Agricultural Environmental Management Program, administered by the Department of Agriculture and Markets ("AEM Program"), with the completion of Tier 2 of the program, or higher, within three years of admission into the New York State Grown and Certified Program; or (ii) another program, either identified in this Part or determined by the Commissioner to demonstrate environmental responsibility sufficient to qualify for participation in the New York State Grown and Certified Program.

(b) "Farm products" means agricultural and horticultural products grown and/or produced in New York, including: vegetable and fruit products; grains, livestock and meats; milk, poultry; eggs; nuts; honey; maple tree sap and maple products produced therefrom; as well dairy products that have been processed or manufactured in New York from milk predominantly produced in New York. Except as otherwise provided in this subdivision, a farm product is produced in New York if it is, solely, the product of land or trees located in New York.

(c) "Forest products" means trees, logs, firewood, lumber, paper and related products that have been produced or processed in New York. A forest product is produced in New York if it: (i) consists solely of trees, or parts thereof, grown in New York or (ii) it has been manufactured in New York from trees grown predominantly in New York.

(d) "Good Agricultural Practices" (GAP) and Good Handling Practices (GHP) mean the voluntary audit programs bearing those names administered by the United States Department of Agriculture.

(e) "GAP or GHP Certification" means that the processes employed by the producer have been verified under the United States Department of Agriculture's GAP or GHP Program.

(f) "GAP or GHP Certified Equivalent" means a program with annual third-party audits to verify that the participant operates using good agricultural and/or handling practices, which program is either identified in this Part or which has been determined to be a GAP or GHP Certified equivalent by the Commissioner.

(g) "Horticultural products" means nursery stock, ornamental shrubs, ornamental trees and flowers.

(h) "Seal" means the official New York State Grown and Certified seal.

161.3 Qualifications for New York State Grown and Certified Producers, Processors and Manufacturers

(a) New York State Grown and Certified is a voluntary program open to:

(1) producers of farm products;

(2) processors and/or manufacturers of food products manufactured in New York, including wine, spirits, beer and cider, using farm products of New York State Grown and Certified Program producers at levels to be established by the Commissioner which in no event shall fall below a preponderance of the product's ingredients;

(3) producers of forest products and equine stock born and bred in New York;

(4) processors and/or manufacturers of forest products that are processed and manufactured in New York and use forest products from New York State Certified Producers at levels established by the Commissioner which in no event shall fall below a preponderance the product or the component parts of the product; and/or

(5) processors and/or manufacturers of such other non-food products determined by the Commissioner to qualify for the New York State Certified Program, which product is processed or manufactured in New York and uses product from New York State Certified Producers at levels established by the Commissioner which in no event shall fall below a preponderance of the product or the component parts of the product.

(b) Qualifications for the New York State Grown and Certified Program producers, processors and manufactures shall be established by the Commissioner and at a minimum require:

(1) for food products:

(a) certification for safe food handling practices, evidenced by: (i) GAP Certification, GHP Certification, or a GAP or GHP certified equivalent; (ii) participation in a Safe Quality Food Institute auditing program (SQF), or in an annual safe food handling training program deemed acceptable by the Commissioner, or in a modified annual food safety inspection for good manufacturing practices (GMPs) conducted by the Department's Division of Food Safety & Inspection, and/or (iii) such other good food handling practices program deemed acceptable by the Commissioner for the particular product category; and/or

(b) operation in an environmentally responsible manner.

(2) for non-food products: operation in an environmentally responsible manner.

161.4 New York State Grown and Certified Seal

(a) Individuals or entities that grow, produce, raise or harvest farm products in New York and individuals or entities that process or manufacture farm products in New York predominately from farm products grown, produced, raised or harvested in the State may use the New York State Grown and Certified Seal (the "Seal") on or upon a label, labeling, package, container, advertisement, or display, in the form set forth below as applicable to the product and under the terms set forth in this Part, provided that the individual or entity has been determined to be qualified to use the Seal by the Commissioner and has executed a license agreement in the form provided by the Commissioner ("license").

(b) The Seal shall be in the following form: See Appendix in the back of this issue.

161.5 Application

A producer, processor and/or manufacturer of farm or forest products or a breeder of horses born and bred in New York may apply to the Commissioner for permission to place the Seal on or upon a label, labeling, package, or container of, or on or upon an advertisement or display promoting, products qualifying for use of the New York State Grown and Certified Seal. Such application shall be submitted to the Commissioner, upon a form provided by the Commissioner, and shall contain the information required by the provisions of this Part as well as any other information that, in the opinion of the Commissioner, is necessary for the proper administration of the New York State Grown and Certified Program. Except as provided in section 161.6 of this Part, permission will not be granted unless an application therefor has been made and a Trademark Licensing Agreement, in a form provided by the Commissioner has been executed.

161.6 Granting Applications to Use the Seal; Revoking Permission therefor

The Commissioner may grant an application for permission for the Seal to be placed on a label or labeling of, or upon an advertisement or display promoting, a qualifying product, after finding the applicant is qualified to participate in this program pursuant to the terms of this Part. The Commissioner may decline to grant an application, or may suspend or revoke permission to use the Seal, whenever he or she finds, after an opportunity to be heard, that the program participant:

(a) does not or no longer meets the qualifications set forth in section 161.3 of this Part;

(b) has failed or refused to produce any information demanded by the Commissioner reasonably related to the administration and enforcement of this Part;

(c) has failed or refused to comply with any applicable provision set forth in this Part or in the Trademark Licensing Agreement; and/or

(d) has, in the Commissioner's opinion, disparaged the Seal or engaged in conduct damaging the good will of the Seal.

161.7 Conditions of Use of the Seal

A producer, processor and/or manufacturer granted permission to use the Seal shall:

(a) use it on articles or other publicity materials solely for the purpose of referring to the New York State Grown and Certified Program;

(b) use it to support the New York State Grown and Certified Program and for the purpose of promoting products to their customers and to the general public;

(c) use it only on products for which permission was granted by the Commissioner, pursuant to the provisions of this Part;

(d) use it only on top-quality products; and no culls or second-quality products may bear the Seal;

(e) comply with all federal, state, local and municipal laws and ordinances directly related to products in connection with which the Seal is used;

(f) not alter, amend, change, or otherwise distort the Seal in any way, except as otherwise and expressly authorized by the Commissioner;

(g) not challenge, contest, impair or tend to impair or use it in a way that invalidates or may tend to invalidate any of the Department's rights in the Seal;

(h) not use it in any manner likely to confuse, mislead or to deceive the public, or engage in conduct that damages value or the good will of the Seal or of the New York State Grown and Certified Program;

(i) not claim or assert any property interest in the Seal; and

(j) not to register or file applications to register the Seal or a name substantially similar thereto.

Text of proposed rule and any required statements and analyses may be obtained from: Kevin King, Director, Division of Agricultural Development, NYS Dept. of Agriculture and Markets, 10B Airline Drive, Albany, NY 12235, (518) 485-0048, email: Kevin.King@agriculture.ny.gov

Data, views or arguments may be submitted to: Same as above.

Public comment will be received until: 45 days after publication of this notice.

Consensus Rule Making Determination

The proposed rule will amend 1 NYCRR to add a new Part 161 thereto which will allow: (1) producers of farm products grown, harvested or raised in New York in an environmentally responsible manner and using good agricultural or handling practices; and (2) processors and manufacturers of products processed or manufactured from farm or forest products predominantly grown, harvested or raised in New York, to use the New York State Grown and Certified Seal.

The proposed rule institutes a voluntary program and no producer, processor or manufacturer of farm products or forest products who does not participate in the program will be required to change, in any way, its processes or procedures for growing, harvesting, raising, processing and/or manufacturing its farm or forest products. The express terms of the proposed rule were drafted only after producers, processors and manufacturers were consulted and their advice solicited regarding what standards for participation in the program should be set forth in the proposed rule. The Department believes that the standards for participation in this voluntary program are uniformly recognized as reasonable and anticipates that they will meet with no objection from market participants.

For the preceding reasons, the proposed rule is non-controversial and is a consensus rule, as defined in State Administrative Procedure Act section 102(11).

Job Impact Statement

The proposed rule will provide for a voluntary program whereby producers, processors, and manufacturers of farm or forest products grown, harvested, or raised in New York, or that predominantly use such products, may apply for and receive permission to use a "New York State Grown and Certified Seal" on the label or labeling of such products, if the program participants have been determined to meet certain conditions. The proposed rule, when implemented, will either have no impact upon jobs and employment opportunities, or will have a positive effect if consumers purchase farm or forest products that bear the seal rather than products from outside the state that do not.

Department of Civil Service

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-34-15-00012-A
Filing No. 777
Filing Date: 2016-08-10
Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To delete positions from and classify positions in the exempt class.

Text or summary was published in the August 26, 2015 issue of the Register, I.D. No. CVS-34-15-00012-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-36-15-00016-A
Filing No. 771
Filing Date: 2016-08-10
Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To delete positions from and classify positions in the non-competitive class.

Text or summary was published in the September 9, 2015 issue of the Register, I.D. No. CVS-36-15-00016-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-44-15-00011-A
Filing No. 772
Filing Date: 2016-08-10
Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To delete a position from and classify positions in the exempt class.

Text or summary was published in the November 4, 2015 issue of the Register, I.D. No. CVS-44-15-00011-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-45-15-00003-A
Filing No. 776
Filing Date: 2016-08-10
Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text or summary was published in the November 10, 2015 issue of the Register, I.D. No. CVS-45-15-00003-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-45-15-00004-A
Filing No. 774
Filing Date: 2016-08-10
Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text or summary was published in the November 10, 2015 issue of the Register, I.D. No. CVS-45-15-00004-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-45-15-00005-A
Filing No. 773
Filing Date: 2016-08-10
Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text or summary was published in the November 10, 2015 issue of the Register, I.D. No. CVS-45-15-00005-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-45-15-00006-A
Filing No. 770
Filing Date: 2016-08-10
Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the non-competitive class.

Text or summary was published in the November 10, 2015 issue of the Register, I.D. No. CVS-45-15-00006-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-45-15-00007-A
Filing No. 775
Filing Date: 2016-08-10
Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the non-competitive class.

Text or summary was published in the November 10, 2015 issue of the Register, I.D. No. CVS-45-15-00007-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-35-16-00004-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text of proposed rule: Amend Appendix 1 of the Rules for the Classified Service, listing positions in the exempt class, in the Department of Audit and Control, by increasing the number of positions of Assistant Counsel from 12 to 13 and Special Assistant from 3 to 7.

Text of proposed rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Data, views or arguments may be submitted to: Ilene Lees, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: ilene.lees@cs.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement
A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Regulatory Flexibility Analysis
A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Rural Area Flexibility Analysis
A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Job Impact Statement
A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-35-16-00005-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To delete positions from and classify positions in the non-competitive class.

Text of proposed rule: Amend Appendix 2 of the Rules for the Classified Service, listing positions in the non-competitive class, in the Executive Department under the subheading "Division of the Budget," by deleting therefrom the positions of øMail and Supply Clerk (4), øPrincipal Mail and Supply Clerk (2) and øSenior Mail and Supply Clerk (2) and by adding thereto the positions of øOffice Assistant 1 (Stores/Mail) (4), øOffice Assistant 2 (Stores/Mail) (2) and øStores and Mail Operations Supervisor (2); in the Department of Civil Service, by deleting therefrom the positions of Principal Mail and Supply Clerk (1) and Testing Center Supervisor and by adding thereto the position of Stores and Mail Operations Supervisor (1); in the Department of Economic Development, by deleting therefrom the positions of Keyboard Specialist 2 (3) and Senior Public Information Specialist (1) and by adding thereto the positions of Office Assistant 2 (Keyboarding) (3) and Public Information Specialist 1 (1); in the Department of Environmental Conservation, by deleting therefrom the positions of Calculations Clerk 1 (until first vacated) (1) and Clerk 2 (until first vacated) (1) and by adding thereto the positions of Office Assistant 1 (until first vacated) (1) and Office Assistant 2 (until first vacated) (1); and, in the Department of Labor under the subheading "Workers' Compensation Board," by deleting therefrom the position of Principal Clerk (1) and by adding thereto the position of Office Assistant 3 (1).

Text of proposed rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Data, views or arguments may be submitted to: Ilene Lees, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: ilene.lees@cs.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement
A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Regulatory Flexibility Analysis
A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Rural Area Flexibility Analysis
A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Job Impact Statement
A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-35-16-00006-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text of proposed rule: Amend Appendix 1 of the Rules for the Classified Service, listing positions in the exempt class, in the Executive Department under the subheading "Office of Information Technology Services," by adding thereto the position of Assistant Public Information Officer.

Text of proposed rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Data, views or arguments may be submitted to: Ilene Lees, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: ilene.lees@cs.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement
A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Regulatory Flexibility Analysis
A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Rural Area Flexibility Analysis
A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Job Impact Statement
A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-35-16-00007-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text of proposed rule: Amend Appendix 1 of the Rules for the Classified Service, listing positions in the exempt class, in the Executive Department under the subheading "Division of the Budget," by adding thereto the position of Counsel.

Text of proposed rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Data, views or arguments may be submitted to: Ilene Lees, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: ilene.lees@cs.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement

A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Regulatory Flexibility Analysis

A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Rural Area Flexibility Analysis

A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Job Impact Statement

A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-35-16-00008-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text of proposed rule: Amend Appendix 1 of the Rules for the Classified Service, listing positions in the exempt class, in the Department of Health under the subheading "Office of the Medicaid Inspector General," by adding thereto the position of Director Internal Audit.

Text of proposed rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Data, views or arguments may be submitted to: Ilene Lees, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: ilene.lees@cs.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement

A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Regulatory Flexibility Analysis

A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Rural Area Flexibility Analysis

A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Job Impact Statement

A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-35-16-00009-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text of proposed rule: Amend Appendix 1 of the Rules for the Classified Service, listing positions in the exempt class, in the Department of Labor under the subheading "State Insurance Fund," by increasing the number of positions of Special Investment Officer from 12 to 24.

Text of proposed rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Data, views or arguments may be submitted to: Ilene Lees, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: ilene.lees@cs.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement

A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Regulatory Flexibility Analysis

A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Rural Area Flexibility Analysis

A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Job Impact Statement

A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-35-16-00010-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the non-competitive class.

Text of proposed rule: Amend Appendix 2 of the Rules for the Classified Service, listing positions in the non-competitive class, in the Department of Taxation and Finance, by adding thereto the positions of Computer Forensic Analyst 3 (Tax) (2) and Computer Forensic Analyst 4 (Tax) (3).

Text of proposed rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Data, views or arguments may be submitted to: Ilene Lees, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: ilene.lees@cs.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement
A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Regulatory Flexibility Analysis
A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Rural Area Flexibility Analysis
A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Job Impact Statement
A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-35-16-00011-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the non-competitive class.

Text of proposed rule: Amend Appendix 2 of the Rules for the Classified Service, listing positions in the non-competitive class, in the Department of State, by adding thereto the position of øMedical Specialist 2 (1).

Text of proposed rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Data, views or arguments may be submitted to: Ilene Lees, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: ilene.lees@cs.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement
A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Regulatory Flexibility Analysis
A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Rural Area Flexibility Analysis
A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Job Impact Statement
A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-35-16-00012-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text of proposed rule: Amend Appendix 1 of the Rules for the Classified Service, listing positions in the exempt class, in the Department of Mental Hygiene under the subheading "Office for People with Developmental Disabilities," by increasing the number of positions of Deputy Commissioner from 6 to 7.

Text of proposed rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Data, views or arguments may be submitted to: Ilene Lees, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: ilene.lees@cs.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement
A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Regulatory Flexibility Analysis
A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Rural Area Flexibility Analysis
A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Job Impact Statement
A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-16-00003-P, Issue of January 13, 2016.

Department of Economic Development

EMERGENCY RULE MAKING

START-UP NY Program

I.D. No. EDV-35-16-00001-E
Filing No. 769
Filing Date: 2016-08-10
Effective Date: 2016-08-10

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of Part 220 to Title 5 NYCRR.

Statutory authority: Economic Development Law, art. 21, sections 435-36; L. 2013, ch. 68

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: On June 24, 2013, Governor Andrew Cuomo signed into law the SUNY Tax-free Areas to Revitalize and Transform UPstate New York (START-UP NY) program, which offers an array of tax benefits to eligible businesses and their employees that locate in facilities affiliated with New York universities and colleges. The START-UP NY program will leverage these tax benefits to attract innovative start-ups and high tech industries to New York so as to create jobs and promote economic development.

Regulatory action is required to implement the START-UP NY program. The legislation creating the START-UP NY program delegated to the Department of Economic Development the establishment of procedures for the implementation and execution of the START-UP NY program. Without regulatory action by the Department of Economic Development, procedures will not be in place to accept applications from institutions of higher learning desiring to create Tax-Free Areas, or businesses wishing to participate in the START-UP NY program.

Adoption of this rule will enable the State to begin accepting applications from businesses to participate in the START-UP NY program, and represent a step towards the realization of the strategic objectives of the START-UP NY program: attracting and retaining cutting-edge start-up companies, and positioning New York as a global leader in high tech industries.

Subject: START-UP NY Program.

Purpose: Establish procedures for the implementation and execution of START-UP NY.

Substance of emergency rule: START-UP NY is a new program designed to stimulate economic development and promote employment of New Yorkers through the creation of tax-free areas that bring together educational institutions, innovative companies, and entrepreneurial investment.

1) The regulation defines key terms, including: "business in the formative stage," "campus," "competitor," "high tech business," "net new job," "new business," and "underutilized property."

2) The regulation establishes that the Commissioner shall review and approve plans from State University of New York (SUNY) colleges, City University of New York (CUNY) colleges, and community colleges seeking designation of Tax-Free NY Areas, and report on important aspects of the START-UP NY program, including eligible space for use as Tax-Free Areas and the number of employees eligible for personal income tax benefits.

3) The regulation creates the START-UP NY Approval Board, composed of three members appointed by the Governor, Speaker of the Assembly and Temporary President of the Senate, respectively. The START-UP NY Approval Board reviews and approves plans for the creation of Tax-Free NY Areas submitted by private universities and colleges, as well as certain plans from SUNY colleges, CUNY colleges, and community colleges, and designates Strategic State Assets affiliated with eligible New York colleges or universities. START-UP NY Approval Board members may designate representatives to act on their behalf during their absence. START-UP NY Approval Board members must remain disinterested, and recuse themselves where appropriate.

4) The regulation establishes eligibility criteria for Tax-Free Areas. Eligibility of vacant land and space varies based on whether it is affiliated with a SUNY college, CUNY college, community college, or private college, and whether the land or space in question is located upstate, downstate, or in New York City. The regulation prohibits any allocation of land or space that would result in the closure or relocation of any program or service associated with a university or college that serves students, faculty, or staff.

5) The regulation establishes eligibility requirements for businesses to participate in the START-UP program, and enumerates excluded industries. To be eligible, a business must: be a new business to the State at the time of its application, subject to exceptions for NYS incubators, businesses restoring previously relocated jobs, and businesses the Commissioner has determined will create net new jobs; comply with applicable worker protection, environmental, and tax laws; align with the academic mission of the sponsoring institution (the Sponsor); demonstrate that it will create net new jobs in its first year of operation; and not be engaged in the same line of business that it conducted at any time within the last five years in New York without the approval of the Commissioner. Businesses locating downstate must be in the formative stages of development, or engaged in a high tech business. To remain eligible, the business must, at a minimum, maintain net new jobs and the average number of jobs that existed with the business immediately before entering the program.

6) The regulation describes the application process for approval of a Tax-Free Area. An eligible institution may submit a plan to the Commissioner identifying land or space to be designated as a Tax-Free Area. This plan must: identify precisely the location of the applicable land or space; describe business activities to be conducted on the land or space; establish that the business activities in question align with the mission of the institution; indicate how the business would generate positive community and economic benefits; summarize the Sponsor's procedures for attracting businesses; include a copy of the institution's conflict of interest guidelines; attest that the proposed Tax-Free Area will not jeopardize or conflict with any existing tax-exempt bonds used to finance the Sponsor; and certify that the Sponsor has not relocated or eliminated programs serving students, faculty, or staff to create the vacant land. Applications by private institutions require approval by both the Commissioner and START-UP NY Approval Board. The START-UP NY Approval Board is to approve applications so as to ensure balance among rural, urban and suburban areas throughout the state.

7) A sponsor applying to create a Tax-Free Area must provide a copy of its plan to the chief executive officer of any municipality in which the proposed Tax-Free Area is located, local economic development entities, the applicable university or college faculty senate, union representatives and the campus student government. Where the plan includes land or space outside of the campus boundaries of the university or college, the institution must consult with the chief executive officer of any municipality in which the proposed Tax-Free Area is to be located, and give preference to underutilized properties identified through this consultation. The Commissioner may enter onto any land or space identified in a plan, or audit any information supporting a plan application, as part of his or her duties in administering the START-UP program.

8) The regulation provides that amendments to approved plans may be made at any time through the same procedures as such plans were originally approved. Amendments that would violate the terms of a lease between a sponsor and a business in a Tax-Free Area will not be approved. Sponsors may amend their plans to reallocate vacant land or space in the case that a business, located in a Tax-Free Area, is disqualified from the program but elects to remain on the property.

9) The regulation describes application and eligibility requirements for businesses to participate in the START-UP program. Businesses are to submit applications to sponsoring universities and colleges by 12/31/20. An applicant must: (1) authorize the Department of Labor (DOL) and Department of Taxation and Finance (DTF) to share the applicant's tax information with the Department of Economic Development (DED); (2) allow DED to monitor the applicant's compliance with the START-UP program; (3) provide to DED, upon request, information related to its business organization, tax returns, investment plans, development strategy, and non-competition with any businesses in the community but outside of the Tax-Free Area; (4) certify efforts to ascertain that the business would not compete with another business in the same community but outside the Tax-Free Area, including an affidavit that notice regarding the application was published in a daily publication no fewer than five consecutive days; (5) include a statement of performance benchmarks as to new jobs to be created through the applicant's participation in START-UP; (6) provide a statement of consequences for non-conformance with the performance benchmarks, including proportional recovery of tax benefits when the business fails to meet job creation benchmarks in up to three years of a ten-year plan, and removal from the program for failure to meet job creation benchmarks in at least four years of a ten-year plan; (7) identify information submitted to DED that the business deems confidential, proprietary, or a trade secret. Sponsors forward applications deemed to meet eligibility requirements to the Commissioner for further review. The Commissioner shall reject any application that does not satisfy the START-UP program eligibility requirements or purpose, and provide written notice of the rejection to the Sponsor. The Commissioner may approve an application anytime after receipt; if the Commissioner approves the application, the business applicant is deemed accepted into the START-UP NY Program and can locate to the Sponsor's Tax-Free NY Area. Applications not rejected will be deemed accepted after sixty days. The Commissioner is to provide documentation of acceptance to successful applicants.

10) The regulation allows a business to amend a successful application at any time in accordance with the procedure of its original application. No amendment will be approved that would contain terms in conflict with a lease between a business and a SUNY college when the lease was included in the original application.

11) The regulation permits a business that has been rejected from the START-UP program to locate within a Tax-Free Area without being eligible for START-UP program benefits, or to reapply within sixty days via a written request identifying the reasons for rejection and offering verified factual information addressing the reasoning of the rejection. Failure to reapply within sixty days waives the applicant's right to resubmit. Upon receipt of a timely resubmission, the Commissioner may use any resources to assess the claim, and must notify the applicant of his or her determination within sixty days. Disapproval of a reapplication is final and non-appealable.

12) With respect to audits, the regulation requires businesses to provide access to DED, DTF, and DOL to all records relating to facilities located in Tax-Free Areas at a business location within the State during normal business hours. DED, DTF, and DOL are to take reasonable steps to

prevent public disclosure of information pursuant to Section 87 of the Public Officers Law where the business has timely informed the appropriate officials, the records in question have been properly identified, and the request is reasonable.

13) The regulation provides for the removal of a business from the program under a variety of circumstances, including violation of New York law, material misrepresentation of facts in its application to the START-UP program, or relocation from a Tax-Free Area. Upon removing a business from the START-UP program, the Commissioner is to notify the business and its Sponsor of the decision in writing. This removal notice provides the basis for the removal decision, the effective removal date, and the means by which the affected business may appeal the removal decision. A business shall be deemed served three days after notice is sent. Following a final decision, or waiver of the right to appeal by the business, DED is to forward a copy of the removal notice to DTF, and the business is not to receive further tax benefits under the START-UP program.

14) To appeal removal from the START-UP program, a business must send written notice of appeal to the Commissioner within thirty days from the mailing of the removal notice. The notice of appeal must contain specific factual information and all legal arguments that form the basis of the appeal. The appeal is to be adjudicated in the first instance by an appeal officer who, in reaching his or her decision, may seek information from outside sources, or require the parties to provide more information. The appeal officer is to prepare a report and make recommendations to the Commissioner. The Commissioner shall render a final decision based upon the appeal officer's report, and provide reasons for any findings of fact or law that conflict with those of the appeal officer.

15) With regard to disclosure authorization, businesses applying to participate in the START-UP program authorize the Commissioner to disclose any information contained in their application, including the projected new jobs to be created.

16) In order to assess business performance under the START-UP program, the Commissioner may require participating businesses to submit annual reports within thirty days at the end of their taxable year describing the businesses' continued satisfaction of eligibility requirements, jobs data, an accounting of wages paid to employees in net new jobs, and any other information the Commissioner may require. The Commissioner shall prepare annual reports on the START-UP program for the Governor and publication on the DED website, beginning April 1, 2015. Information contained in businesses' annual reports may be published in these reports or otherwise disseminated.

17) The Freedom of Information Law is applicable to the START-UP program, subject to disclosure waivers to protect certain proprietary information submitted in support of an application to the START-UP program.

18) All businesses must keep relevant records throughout their participation in the START-UP program, plus three years. DED has the right to inspect all such documents upon reasonable notice.

19) If the Commissioner determines that a business has acted fraudulently in connection with its participation in the START-UP program, the business shall be immediately terminated from the program, subject to criminal penalties, and liable for taxes that would have been levied against the business during the current year.

20) The regulation requires participating universities and colleges to maintain a conflict of interest policy relevant to issues that may arise during the START-UP program, and to report violations of said policies to the Commissioner for publication.

This notice is intended to serve only as an emergency adoption, to be valid for 90 days or less. This rule expires November 7, 2016.

Text of rule and any required statements and analyses may be obtained from: Phillip Harmonick, New York State Department of Economic Development, 625 Broadway, Albany, New York 12207, (518) 292-5112, email: phillip.harmonick@esd.ny.gov

Regulatory Impact Statement

STATUTORY AUTHORITY:

Chapter 68 of the Laws of 2013 requires the Commissioner of Economic Development to promulgate rules and regulations to establish procedures for the implementation and execution of the SUNY Tax-free Areas to Revitalize and Transform UPstate New York program (START-UP NY). These procedures include, but are not limited to, the application processes for both academic institutions wishing to create Tax-Free NY Areas and businesses wishing to participate in the START-UP NY program, standards for evaluating applications, and any other provisions the Commissioner deems necessary and appropriate.

LEGISLATIVE OBJECTIVES:

The proposed rule is in accord with the public policy objectives the New York State Legislature sought to advance by enacting the START-UP NY program, which provides an incentive to businesses to locate critical high-tech industries in New York State as opposed to other competitive markets in the U.S. and abroad. It is the public policy of the State to establish Tax-Free Areas affiliated with New York universities and colleges, and to afford significant tax benefits to businesses, and the employees of those businesses, that locate within these Tax-Free Areas. The tax benefits are designed to attract and retain innovative start-ups and high-tech industries, and secure for New York the economic activity they generate. The proposed rule helps to further such objectives by establishing the application process for the program, clarifying the nature of eligible businesses and facilities, and describing key provisions of the START-UP NY program.

NEEDS AND BENEFITS:

The emergency rule is necessary in order to implement the statute contained in Article 21 of the Economic Development Law, creating the START-UP NY program. The statute directs the Commissioner of Economic Development to establish procedures for the implementation and execution of the START-UP NY program.

Upstate New York has faced longstanding economic challenges due in part to the departure of major business actors from the region. This divestment from upstate New York has left the economic potential of the region unrealized, and left many upstate New Yorkers unemployed.

START-UP NY will promote economic development and job creation in New York, particularly the upstate region, through tax benefits conditioned on locating business facilities in Tax-Free NY Areas. Attracting start-ups and high-tech industries is critical to restoring the economy of upstate New York, and to positioning the state as a whole to be competitive in a globalized economy. These goals cannot be achieved without first establishing procedures by which to admit businesses into the START-UP NY program.

The proposed regulation establishes procedures and standards for the implementation of the START-UP program, especially rules for the creation of Tax-Free NY Areas, application procedures for the admission of businesses into the program, and eligibility requirements for continued receipt of START-UP NY benefits for admitted businesses. These rules allow for the prompt and efficient commencement of the START-UP NY program, ensure accountability of business participants, and promote the general welfare of New Yorkers.

COSTS:

I. Costs to private regulated parties (the business applicants): None. The proposed regulation will not impose any additional costs to eligible business applicants.

II. Costs to the regulating agency for the implementation and continued administration of the rule: None.

III. Costs to the State government: None.

IV. Costs to local governments: None.

LOCAL GOVERNMENT MANDATES:

The rule establishes certain property tax benefits for businesses locating in Tax-Free NY Areas that may impact local governments. However, as described in the accompanying statement in lieu of a regulatory flexibility analysis for small businesses and local governments, the program is expected to have a net-positive impact on local government.

PAPERWORK:

The rule establishes application and eligibility requirements for Tax-Free NY Areas proposed by universities and colleges, and participating businesses. These regulations establish paperwork burdens that include materials to be submitted as part of applications, documents that must be submitted to maintain eligibility, and information that must be retained for auditing purposes.

DUPLICATION:

The proposed rule will create a new section of the existing regulations of the Commissioner of Economic Development, Part 220 of 5 NYCRR. Accordingly, there is no risk of duplication in the adoption of the proposed rule.

ALTERNATIVES:

No alternatives were considered in regard to creating a new regulation in response to the statutory requirement. The regulation implements the statutory requirements of the START-UP NY program regarding the application process for creation of Tax-Free NY Areas and certification as an eligible business. This action is necessary in order to clarify program participation requirements and is required by the legislation establishing the START-UP NY program.

FEDERAL STANDARDS:

There are no federal standards applicable to the START-UP NY program; it is purely a State program that offers tax benefits to eligible businesses and their employees. Therefore, the proposed rule does not exceed any federal standard.

COMPLIANCE SCHEDULE:

The affected State agency (Department of Economic Development) and the business applicants will be able to achieve compliance with the regulation as soon as it is implemented.

Regulatory Flexibility Analysis

Participation in the START-UP NY program is entirely at the discretion of qualifying business that may choose to locate in Tax-Free NY Areas.

Neither statute nor the proposed regulations impose any obligation on any business entity to participate in the program. Rather than impose burdens on small business, the program is designed to provide substantial tax benefits to start-up businesses locating in New York, while providing protections to existing businesses against the threat of tax-privileged start-up companies locating in the same community. Local governments may not be able to collect tax revenues from businesses locating in certain Tax-Free NY Areas. However, the regulation is expected to have a net-positive impact on local governments in light of the substantial economic activity associated with businesses locating their facilities in these communities.

Because it is evident from the nature of the proposed rule that it will have a net-positive impact on small businesses and local government, no further affirmative steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses and local government is not required and one has not been prepared.

Rural Area Flexibility Analysis

The START-UP NY program is open to participation from any business that meets the eligibility requirements, and is organized as a corporation, partnership, limited liability company, or sole proprietorship. A business's decision to locate its facilities in a Tax-Free NY Area associated with a rural university or college would be no impediment to participation; in fact, START-UP NY allocates space for Tax-Free NY Areas specifically to the upstate region which contains many of New York's rural areas. Furthermore, START-UP NY specifically calls for the balanced allocation of space for Tax-Free NY Areas between eligible rural, urban, and suburban areas in the state. Thus, the regulation will not have a substantial adverse economic impact on rural areas, and instead has the potential to generate significant economic activity in upstate rural areas designated as Tax-Free NY Areas. Accordingly, a rural flexibility analysis is not required and one has not been prepared.

Job Impact Statement

The regulation establishes procedures and standards for the administration of the START-UP NY program. START-UP NY creates tax-free areas designed to attract innovative start-ups and high-tech industries to New York so as to stimulate economic activity and create jobs. The regulation will not have a substantial adverse impact on jobs and employment opportunities; rather, the program is focused on creating jobs. Because it is evident from the nature of the rulemaking that it will have either no impact or a positive impact on job and employment opportunities, no further affirmative steps were needed to ascertain that fact and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

Education Department

EMERGENCY RULE MAKING

Teacher Certification in Career and Technical Education

I.D. No. EDU-22-16-00006-E

Filing No. 784

Filing Date: 2016-08-15

Effective Date: 2016-08-15

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of section 80-3.5(b)(4) to Title 8 NYCRR.

Statutory authority: Education Law, sections 207(not subdivided), 305(1), (2), 3001(2), 3004(1), 3006(1) and 3009

Finding of necessity for emergency rule: Preservation of public health and general welfare.

Specific reasons underlying the finding of necessity: The proposed amendment to section 80-3.5 is necessary to provide an additional pathway option for a Transitional A Certificate in the CTE subjects for candidates who are issued a full license to teach by the Bureau of Proprietary School Supervision and who have two years of teaching experience under such license.

A Notice of Proposed Rule Making was published in the State Register on June 1, 2016. Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for regular (non-emergency) adoption, after expiration of the required 45-day public comment period provided for in the State Administrative Procedure Act (SAPA), would be the July Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed rule, if adopted at the September meeting, would be September 28, 2016, the date a Notice of Adoption would be published in the State Register.

Emergency action is therefore necessary to allow those who are issued a full license by the Bureau of Proprietary School Supervision (BPSS) and who have two years of teaching in the license area in a New York State licensed private career school to take advantage of the additional pathway before the start of the 2016-17 school year and to ensure that the emergency action taken by the Board of Regents at its May 2016 meeting remains continuously in effect until it can be adopted as a permanent rule.

Subject: Teacher certification in career and technical education.

Purpose: Establishes a new pathway for Transitional A certificate.

Text of emergency rule: 1. A new paragraph (4) is added to subdivision (b) of section 80-3.5 of the Regulations of the Commissioner of Education shall be amended by adding new paragraph (4), effective August 15, 2016, to read as follows:

(4) Option D: The requirements of this paragraph are applicable to candidates who will seek an initial certificate and who possess a full license as a teacher issued by the Department pursuant to section 126.6(f) of this Title in the career and technical field in which a certificate is sought. The candidate shall meet the requirements in each of the following subparagraphs:

(i) Education. The candidate shall complete at least two clock hours of coursework or training regarding the identification and reporting suspected child abuse or maltreatment, in accordance with requirements of section 3004 of the Education Law. In addition, the candidate shall complete at least two clock hours of coursework or training in school violence prevention and intervention, as required by section 3004 of the Education Law, which is provided by a provider approved or deemed approved by the department pursuant to Subpart 57-2 of this Title. A candidate who applies for the certificate on or after December 31, 2013, shall also complete at least six clock hours, of which at least three hours must be conducted through face-to-face instruction, of coursework or training in harassment, bullying and discrimination prevention and intervention, as required by section 14 of the Education Law.

(ii) Examination. The candidate shall submit evidence of having achieved a satisfactory level of performance on the New York State Teacher Certification Examination content specialty test(s) in the area of the certificate.

(iii) Experience. The candidate shall have at least two years of satisfactory teaching experience under a full license issued by the Department pursuant to section 126.6(f) of this Title, in a New York State licensed private career school in the certificate area or in a closely related subject area acceptable to the department.

(iv) Employment and support commitment. The candidate shall submit evidence of having a commitment for three years of employment as a teacher in grades 7 through 12 in a career or technical field in a public or nonpublic school or BOCES, which shall include a mentored experience for the first year that will consist of daily supervision by an experienced teacher during the first 20 days of teaching, except that such mentoring shall not be required if the candidate has two years of satisfactory employment as a teacher of students in grades 7 through 12 in a public or nonpublic school or BOCES.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-26-16-00016-EP, Issue of June 29, 2016. The emergency rule will expire October 13, 2016.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, State Education Department, Office of Counsel, State Education Building Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Education Law 207(not subdivided) grants general rule-making authority to the Regents to carry into effect State educational laws and policies.

Education Law 305(1) authorizes the Commissioner to enforce laws relating to the State educational system and execute Regents educational policies.

Education Law 3001(2) establishes the qualifications of teachers in the State and requires that such teachers possess a teaching certificate issued by the Department.

Education Law 3004(1) authorizes the Commissioner to promulgate regulations, subject to approval by the Board of Regents, regulations governing the certification and examination requirements for teachers employed in public schools.

Education Law 3006(1) authorizes the Commissioner to issue temporary certificates to teachers.

Education Law 3009 prohibits school district monies from being used to pay the salary of an unqualified teacher.

2. LEGISLATIVE OBJECTIVES:

The proposed rule establishes three new certification pathway options for candidates to obtain a Transitional A certificate who do not meet the current requirements but who possess industry experience, credentials, or are in the process of completing certification in a CTE field to address concerns raised by school districts and Board of Cooperative Educational Services (BOCES) that have expressed difficulty in filling CTE positions.

3. NEEDS AND BENEFITS:

Currently, a Transitional A certificate in a specific career and technical subject is issued to permit the employment of an individual in a specific career and technical education title who does not meet the requirements for an initial certificate, but who possesses the requisite occupational experience. This certificate is valid for three years, and the candidate would complete the additional requirements for an initial certificate during the three years.

The three options available for a Transitional A certificate at this time are:

- Option A. Candidates who possess an associate's degree (or its equivalent) in the career and technical field in which the certificate is sought, and who have at least two years of documented and satisfactory work experience in the career and technical education subject for which a certificate is sought;
- Option B. Candidates who possess a high school diploma or its equivalent (but who do not possess an associate's degree or its equivalent in the certificate area), and who have at least four years of documented and satisfactory work experience in the career and technical education subject for which a certificate is sought; and
- Option C. Candidates who possess an associate's degree (or its equivalent) in the career and technical field in which the certificate is sought, and who have at least two years of documented and satisfactory teaching experience at the postsecondary level (excluding experience as a teaching assistant) in the career and technical education subject for which a certificate is sought.

All three Transitional A pathways described above also require:

(1) Coursework training in identification of and reporting of child abuse or maltreatment, school violence prevention and intervention, and harassment, bullying and discrimination prevention and intervention;

(2) Evidence of having achieved a satisfactory level of performance on the New York State Teacher Certification Exam Content Specialty Test in the area of the certificate, and

(3) An employment and support commitment—the candidate must submit evidence of having a commitment for three years of employment as a teacher in a public or nonpublic school or BOCES, which includes a mentored experience for the first year consisting of daily supervision by an experienced teacher during the first 20 days. However, the mentoring is not required if the candidate has two years of satisfactory employment as a teacher of students in grades 7-12 in a public or nonpublic school or BOCES.

In addition, at the May 2016 Board of Regents meeting, the Board adopted by Emergency action a new pathway option for those issued a full license to teach in licensed private career schools and who have two years of teaching experience under such license, to qualify for a Transitional A certificate. If adopted at the September 2016 Board of Regents meeting, this will allow those candidates to teach CTE during the 2016-2017 school year.

Proposed Amendment:

Based on feedback from the field, it appears that several school districts are having difficulty finding CTE teachers to fill positions at the secondary level, particularly the New York City School District. While the Board of Regents has already made the effort to expand the pathways available to obtain a Transitional A certificate in 2013 and at the May 2016 Board meeting, this amendment would create additional pathways for those individuals who do not meet current requirements.

In order to address this issue, the proposed amendment to 80-3.5 of the Regulations of the Commissioner of Education allows additional opportunities for individuals who possess industry experience, credentials, or are in the process of completing certification in a CTE field to obtain a Transitional A teaching certificate in their area of expertise, thus allowing them to teach CTE subjects at the secondary school level. This will help to increase the supply of qualified, certified teachers in the career and technical education field to satisfy the increasing demand for those teachers.

Candidates must meet one of the following requirements:

- Have a minimum of two years of work experience in the CTE subject area of the certificate sought and hold an industry-related credential, where available, or pass an industry accepted examination as approved by the Department and have an employment and support commitment
- Are enrolled in an approved CTE teacher preparation program and have either a minimum of one year of related work experience and/or take and pass an industry accepted examination and have an employment and support commitment
- Are currently certified 7-12 grade teachers in any CTE subject area with two years of documented work experience or who hold industry-recognized credentials, where available, in the related CTE area and have an employment and support commitment

4. COSTS:

a. Costs to State government: The amendment does not impose any costs on State government, including the State Education Department.

b. Costs to local government: The amendment does not impose any costs on local government, including school districts and BOCES.

c. Costs to private regulated parties: The amendment does not impose any costs on private regulated parties.

d. Costs to regulating agency for implementation and continued administration: See above.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment does not impose any additional program, service, duty or responsibility upon any local government.

6. PAPERWORK:

Any candidate interested in pursuing this certification pathway must submit evidence of having a commitment for three years of employment as a teacher in a public or nonpublic school or BOCES, which includes a mentored experience for the first year consisting of daily supervision by an experienced teacher during the first 20 days.

7. DUPLICATION:

The rule does not duplicate existing State or Federal requirements.

8. ALTERNATIVES:

No alternatives were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards concerning registration and CTLE requirements for certificate holders.

10. COMPLIANCE SCHEDULE:

It is anticipated that schools districts and BOCES will be able to comply by the stated effective date.

Regulatory Flexibility Analysis

(a) Small businesses:

The purpose of proposed amendment is to address the issue of school districts and Board of Cooperative Educational Services (BOCES) that have expressed difficulty in filling Career and Technical Education (CTE) positions at the secondary level. The proposed amendment will create a new pathway option for those issued a Full License to teach in licensed private career schools and who have two years of teaching experience under such license, to qualify for a Transitional A certificate. This would allow those who qualify to teach CTE subjects at the secondary level.

The amendment does not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact, on small business. Because it is evident from the nature of the rule that it does not affect small businesses, no further steps were needed to ascertain that fact and one were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

(b) Local governments:

1. EFFECT OF RULE:

If adopted by the Board of Regents at the September 2016 Board of Regents meeting, commencing with the 2016-2017 school year, the proposed amendment creates a new certification pathway option for those issued a full license to teach in licensed private career schools by the Department and who have two years of teaching experience under such license, to qualify for a Transitional A certificate. This would allow those who qualify to teach Career and Technical Education (CTE) CTE subjects in grades 7-12.

2. COMPLIANCE REQUIREMENTS:

Currently, a Transitional A certificate in a specific career and technical subject is issued to permit the employment of an individual in a specific career and technical education title who does not meet the requirements for an initial certificate, but who possesses the requisite occupational experience. This certificate is valid for three years, and the candidate would complete the additional requirements for an initial certificate during the three years.

The three options available for a Transitional A certificate at this time are:

- Option A. Candidates who possess an associate's degree (or its equivalent) in the career and technical field in which the certificate is sought, and who have at least two years of documented and satisfactory work experience in the career and technical education subject for which a certificate is sought;
- Option B. Candidates who possess a high school diploma or its equivalent (but who do not possess an associate's degree or its equivalent in the certificate area), and who have at least four years of documented and satis-

factory work experience in the career and technical education subject for which a certificate is sought; and

• Option C. Candidates who possess an associate's degree (or its equivalent) in the career and technical field in which the certificate is sought, and who have at least two years of documented and satisfactory teaching experience at the postsecondary level (excluding experience as a teaching assistant) in the career and technical education subject for which a certificate is sought.

All three Transitional A pathways described above also require:

(1) Coursework training in identification of and reporting of child abuse or maltreatment, school violence prevention and intervention, and harassment, bullying and discrimination prevention and intervention;

(2) Evidence of having achieved a satisfactory level of performance on the New York State Teacher Certification Exam Content Specialty Test in the area of the certificate, and

(3) An employment and support commitment—the candidate must submit evidence of having a commitment for three years of employment as a teacher in a public or nonpublic school or BOCES, which includes a mentored experience for the first year consisting of daily supervision by an experienced teacher during the first 20 days. However, the mentoring is not required if the candidate has two years of satisfactory employment as a teacher of students in grades 7-12 in a public or nonpublic school or BOCES.

Proposed Amendment:

Based on feedback from the field, it appears that several school districts are having difficulty finding CTE teachers to fill positions at the secondary level, particularly the New York City School District. While the Board of Regents has already made the effort to expand the pathways available to obtain a Transitional A certificate in 2013, and this amendment would create an additional pathway for those who hold a full license to teach in licensed private career schools, who also have two years of teaching experience under such license.

In order to address this issue, the proposed amendment to 80-3.5 of the Regulations of the Commissioner of Education allows additional opportunities for individuals with specific technical and career experience to obtain a Transitional A teaching certificate in their area of expertise, thus allowing them to teach CTE subjects at the secondary school level. This will help to increase the supply of qualified, certified teachers in the career and technical education field to satisfy the increasing demand for those teachers.

3. PROFESSIONAL SERVICES:

The proposed rule does not impose any additional professional services requirements on local governments.

4. COMPLIANCE COSTS:

There are no additional compliance costs on local governments.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The rule does not impose any additional technological requirements on districts or BOCES.

6. MINIMIZING ADVERSE IMPACT:

The rule seeks to address the issue of school districts having difficulty finding certified teachers to serve as substitute teachers, as this concern was raised by the field. The proposed amendment seeks to provide flexibility to these school districts by providing an additional certification pathway for teachers in CTE in grades 7-12.

7. LOCAL GOVERNMENT PARTICIPATION:

Comments on the proposed rule were solicited from school districts through the offices of the district superintendents of each supervisory district in the State, and from the chief school officers of the five big city school districts.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

If adopted by the Board of Regents at the September 2016 Board of Regents meeting, commencing with the 2016-2017 school year, the proposed amendment creates a new pathway option for those issued a full license to teach in licensed private career schools and who have two years of teaching experience under such license, to qualify for a Transitional A certificate. This would allow those who qualify to teach Career and Technical Education (CTE) subjects at the secondary level.

This amendment applies to all districts and BOCES in New York and those who hold a Full License to teach in licensed private career schools, including those in the 44 rural counties with fewer than 200,000 inhabitants and the 71 towns and urban counties with a population density of 150 square miles or less.

2. REPORTING, RECORDKEEPING, AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES:

Currently, a Transitional A certificate in a specific career and technical subject is issued to permit the employment of an individual in a specific career and technical education title who does not meet the requirements for an initial certificate, but who possesses the requisite occupational experience. This certificate is valid for three years, and the candidate would complete the additional requirements for an initial certificate during the three years.

The three options available for a Transitional A certificate at this time are:

• Option A. Candidates who possess an associate's degree (or its equivalent) in the career and technical field in which the certificate is sought, and who have at least two years of documented and satisfactory work experience in the career and technical education subject for which a certificate is sought;

• Option B. Candidates who possess a high school diploma or its equivalent (but who do not possess an associate's degree or its equivalent in the certificate area), and who have at least four years of documented and satisfactory work experience in the career and technical education subject for which a certificate is sought; and

• Option C. Candidates who possess an associate's degree (or its equivalent) in the career and technical field in which the certificate is sought, and who have at least two years of documented and satisfactory teaching experience at the postsecondary level (excluding experience as a teaching assistant) in the career and technical education subject for which a certificate is sought.

All three Transitional A pathways described above also require:

(1) Coursework training in identification of and reporting of child abuse or maltreatment, school violence prevention and intervention, and harassment, bullying and discrimination prevention and intervention;

(2) Evidence of having achieved a satisfactory level of performance on the New York State Teacher Certification Exam Content Specialty Test in the area of the certificate, and

(3) An employment and support commitment—the candidate must submit evidence of having a commitment for three years of employment as a teacher in a public or nonpublic school or BOCES, which includes a mentored experience for the first year consisting of daily supervision by an experienced teacher during the first 20 days. However, the mentoring is not required if the candidate has two years of satisfactory employment as a teacher of students in grades 7-12 in a public or nonpublic school or BOCES.

Proposed Amendment:

Based on feedback from the field, it appears that several school districts are having difficulty finding CTE teachers to fill positions at the secondary level, particularly the New York City School District. While the Board of Regents has already made the effort to expand the pathways available to obtain a Transitional A certificate in 2013, and this amendment would create an additional pathway for those who hold a full license to teach in licensed private career schools, who also have two years of teaching experience under such license.

In order to address this issue, the proposed amendment to 80-3.5 of the Regulations of the Commissioner of Education allows additional opportunities for individuals with specific technical and career experience to obtain a Transitional A teaching certificate in their area of expertise, thus allowing them to teach CTE subjects at the secondary school level. This will help to increase the supply of qualified, certified teachers in the career and technical education field to satisfy the increasing demand for those teachers.

3. COSTS:

The proposed amendment does not impose any costs on candidates for the Transitional A certificate, school districts or BOCES across the State, including those located in rural areas of the State.

4. MINIMIZING ADVERSE IMPACT:

The rule seeks to provide additional flexibility to school districts by addressing the issue raised by school districts who were having difficulty finding CTE teachers to fill positions at the secondary level, as this concern was raised by the field.

5. RURAL AREA PARTICIPATION:

Copies of the rule have been provided to Rural Advisory Committee for review and comment.

Job Impact Statement

The purpose of proposed amendment is to address the issue of school districts and Board of Cooperative Educational Services (BOCES) that have expressed difficulty in filling Career and Technical Education (CTE) positions at the secondary level. The proposed amendment will create a new pathway option for those issued a full license to teach in licensed private career schools and who have two years of teaching experience under such license, to qualify for a Transitional A certificate. This would allow those who qualify to teach CTE subjects at the secondary level.

Because the proposed amendment seeks to address an issue raised by the field in employing CTE teachers, it is evident from the nature of the proposed rule that it will have no impact on the number of jobs or employment opportunities in New York State, and no further steps were needed to ascertain that fact and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

Assessment of Public Comment

The agency received no public comment since publication of the last assessment of public comment.

EMERGENCY RULE MAKING

Licensure of Occupational Therapy Assistants (OTAs)

I.D. No. EDU-22-16-00008-E
Filing No. 783
Filing Date: 2016-08-15
Effective Date: 2016-08-15

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of sections 76.6, 76.7, 76.8, 76.9 and 76.10 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207(not subdivided), 6504(not subdivided), 6507(2)(a), 7902-a, 7903, 7904-a, 7905(2), 7906(4) and 7907; L. 2015, ch. 470

Finding of necessity for emergency rule: Preservation of public health and general welfare.

Specific reasons underlying the finding of necessity: The proposed rule is necessary to implement Chapter 470 of the Laws of 2015, which became effective on May 18, 2016. The amendment to the Education Law made by Chapter 470 codifies and defines the practice of occupational therapy assistants, establishes requirements for licensure, and requires at least one occupational therapy assistant to serve on the State Board for Occupational Therapy. Pursuant to Chapter 470, the practice of an occupational therapy assistant is defined as the provision of occupational therapy and client related services under the direction and supervision of an occupational therapist or a licensed physician in accordance with the Regulations of the Commissioner of Education. It also establishes the requirements for licensure of occupational therapy assistants, which include, but are not limited to, professional education, experience and examination requirements. This amendment to the Education Law also provides for a grandparenting licensure pathway for individuals to qualify for a license as an occupational therapy assistant, without a written examination, if they had a current registration on February 3, 2012 with the Department as an occupational therapy assistant and satisfy the specified education, experience, age, moral character and fee requirements for licensure.

The proposed amendment was adopted as an emergency action at the May 16-17, 2016 Regents meeting, effective May 18, 2016 and a Notice of Emergency Action and Proposed Rule Making was published in the State Register on June 1, 2016. Because the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for regular (non-emergency) adoption, after expiration of the required 45-day public comment period provided for in State Administrative Procedure Act (SAPA) sections 202(1) and (5), would be the September 12-13, 2016 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed rule, if adopted at the September meeting, would be September 28, 2016, the date a Notice of Adoption would be published in the State Register. However, the May 2016 emergency rule will expire on August 14, 2016, 90 days from its filing with the Department of State on May 17, 2016.

If the rule were to lapse, applicants for licensure as occupational therapy assistants would be unable to become licensed until September 28, 2016, which could result in a temporary shortage in the number of licensed professionals qualified to practice occupational therapy and decrease New Yorkers' access to occupational therapy services. Emergency action is therefore necessary at the July 2016 Regents meeting for preservation of the public health and general welfare in order to ensure that the proposed rule adopted by emergency action at the May 2016 Regents meeting remains continuously in effect until the effective date of its permanent adoption, so that applicants for licensure as occupational therapy assistants, who do not meet the requirements for licensure under the grandparenting licensure pathway, can continue to be licensed as occupational therapy assistants, if they meet the licensure requirements of the proposed rule.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the September 12-13, 2016 Regents meeting, which is the first scheduled meeting after expiration of the 45-day public comment period prescribed in the State Administrative Procedure Act for State agency rule makings.

Subject: Licensure of Occupational Therapy Assistants (OTAs).

Purpose: To define the practice of OTAs, establish requirements for licensure, and alter the composition of the State Board.

Text of emergency rule: 1. Subdivision (a) section 76.6 of the Regulations of the Commissioner of Education is amended, effective August 15, 2016, as follows:

(a) An occupational therapy assistant shall mean a person *licensed or otherwise* authorized in accordance with this Part who provides occupational therapy services under the direction and supervision of an occupational therapist or licensed physician and performs client related activities assigned by the supervising occupational therapist or licensed physician. Only a person *licensed or otherwise* authorized under this Part shall participate in the practice of occupational therapy as an occupational therapy assistant, and only a person *licensed or otherwise* authorized under this Part shall use the title occupational therapy assistant.

2. Section 76.7 of the Regulations of the Commissioner of Education is amended, effective August 15, 2016, as follows:

§ 76.7 Requirements for [authorization] *licensure* as an occupational therapy assistant.

To qualify for [authorization] *licensure* as an occupational therapy assistant pursuant to section [7906(7)] *7904-a* of the Education Law, an applicant shall fulfill the following requirements:

(a) . . .

(b) have received an education as follows:

(1) completion of a two-year associate degree program for occupational therapy assistants registered by the department or accredited by a national accreditation agency which is satisfactory to the department; or

(2) completion of a postsecondary program [in occupational therapy satisfactory to the department and] of at least two years duration *that has been determined by the Board of Regents pursuant to Education Law section 6506(5) to substantially meet the requirements of Education Law section 7904-a(b)*;

(c) have a minimum of [three months] *sixteen weeks* clinical experience satisfactory to the State board for occupational therapy and in accordance with standards established by a national accreditation agency which is satisfactory to the department;

(d) . . .

(e) . . .

[(f) register triennially with the department in accordance with the provisions of subdivision (h) of this section, sections 6502 and 7906(8) of the Education Law, and sections 59.7 and 59.8 of this Title;]

([g]*f*) pay a fee for an initial license and a fee for each triennial registration period that shall be one half of the fee for initial license and for each triennial registration period established [in Education law] for occupational therapists; and

([h]*g*) except as otherwise provided by Education Law section 7907(2), pass an examination acceptable to the department.

3. Subdivision (a) of section 76.8 of the Regulations of the Commissioner of Education is amended, effective August 15, 2016, as follows:

(a) A written supervision plan, acceptable to the occupational therapist or licensed physician providing direction and supervision, shall be required for each occupational therapy assistant providing services pursuant to section [7906(7)] *7902-a* of the Education Law. The written supervision plan shall specify the names, professions and other credentials of the persons participating in the supervisory process, the frequency of formal supervisory contacts, the methods (e.g., in-person, by telephone) and types (e.g., review of charts, discussion with occupational therapy assistant) of supervision, the content areas to be addressed, how written treatment notes and reports will be reviewed, including, but not limited to, whether such notes and reports will be initialed or co-signed by the supervisor, and how professional development will be fostered.

4. Subdivision (b) of section 76.9 of the Regulations of the Commissioner of Education is amended, effective August 15, 2016, as follows:

To be permitted to practice as an exempt person pursuant to section 7906(4) of the Education Law, an occupational therapy assistant student shall be enrolled in a program as set forth in section 76.7(b)(1) of this Part and shall practice under the direction and supervision of:

(a) an occupational therapist; or

(b) an occupational therapy assistant who [has obtained authorization] *is licensed or otherwise authorized* pursuant to section [7906(7)] *7904-a* of the Education Law and who is under the supervision of an occupational therapist.

5. Paragraph (3) of subdivision (a) of section 76.10 of the Regulations of the Commissioner of Education is amended, effective August 15, 2016, as follows:

(a) Definitions. As used in this section:

(1) . . .

(2) . . .

(3) Licensee means an individual licensed to practice occupational therapy pursuant to section 7904 of the Education Law or [authorized] *licensed* to practice as an occupational therapy assistant pursuant to section [7906(7)] *7904-a* of the Education Law.

(4) . . .

(5) . . .

(6) . . .

(7) . . .

6. Paragraph (1) of subdivision (j) of section 76.10 of the Regulations of the Commissioner of Education is amended, effective August 15, 2016, as follows:

(j) Fees.

(1) At the beginning of each registration period, a mandatory continuing competency fee of $45 shall be collected from [licensees] *each licensed occupational therapist* engaged in the practice of occupational therapy in New York State and a mandatory continuing competency fee of $25 shall be collected from [licensees] *each person licensed or otherwise* authorized to practice as an occupational therapy assistant in New York State, except for those exempt from the requirement pursuant to subparagraph (b)(2)(i) of this section. This fee shall be in addition to the registration fee required by section 7904 of the Education Law for [licensees] *licensed occupational therapists* [engaged in the practice of occupational therapy], and the registration fee required by section [76.7 of this Part] *7904-a of the Education Law* for [individuals] *persons licensed or otherwise* authorized to practice as [an] occupational therapy assistants.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-22-16-00008-EP, Issue of June 1, 2016. The emergency rule will expire October 13, 2016.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, State Education Department, Office of Counsel, State Education Building, Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Section 207 of the Education Law grants general rule-making authority to the Board of Regents to carry into effect the laws and policies of the State relating to education.

Section 6504 of the Education Law authorizes the Board of Regents to supervise the admission to and regulation of the practices of the professions.

Subparagraph (a) of subdivision (2) of section 6507 of the Education Law authorizes the Commissioner of Education to promulgate regulations in administering the admission to the practice of the professions.

Section 7902-a of the Education Law, as added by Chapter 470 of the Laws of 2015, provides that only a licensed or otherwise authorized person is permitted to practice as an occupational therapy assistant and use the title "occupational therapy assistant" and defines practice as an occupational therapy assistant to include the providing of occupational therapy and client related services under the direction and supervision of an occupational therapist or a licensed physician.

Section 7903 of the Education Law, as amended by Chapter 470 of the Laws of 2015, provides for a State Board for Occupational Therapy for the purpose of assisting the Board of Regents and the Department on matters of professional licensing and professional conduct, to be composed of not less than six licensed occupational therapists, one occupational therapy assistant, one physician and two members of the public.

Section 7904-a of the Education Law, as added by Chapter 470 of the Laws of 2015, codifies and establishes the education, experience, examination, age, moral character and fee requirements for applicants seeking licensure as occupational therapy assistants.

Subdivision (2) of section 7905 of the Education Law, as amended by Chapter 470 of the Laws of 2015, provides that an individual with a limited permit to practice occupational therapy or as an occupational therapy assistant, shall be authorized to practice only under the direct supervision of a licensed occupational therapist or a licensed physician and shall practice only in a public, voluntary, or proprietary hospital, health care agency or in a preschool or an elementary or secondary school for the purpose of providing occupational therapy as a related service for a handicapped child, and further requires that the supervision of such limited permittee shall be direct supervision as defined by the Regulations of the Commissioner of Education.

Subdivision (4) of section 7906 of the Education Law, as amended by Chapter 470 of the Laws of 2015, permits an occupational therapy assistant student to engage in clinical practice under the direction and supervision of an occupational therapist or an occupational therapy assistant who is under the supervision of an occupational therapist, as part of an accredited occupational therapy assistant program, as defined by the Commissioner and in accordance with the Regulations of the Commission of Education, provided that no title, sign, card or device is used in such manner as to tend to convey the impression that the person rendering such service is a licensed occupational therapist.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment carries out the intent of the aforementioned statutes that the Department shall supervise the regulation of the practice of the professions for the benefit of the public. The proposed amendment will conform the Regulations of the Commissioner of Education to Chapter 470 of the Laws of 2015 which amended Article 156 of the Education Law, by, inter alia, codifying and defining the practice of an occupational therapy assistant and providing that only a licensed or otherwise authorized person is permitted to practice as an occupational therapy assistant and use the title occupational therapy assistant. Chapter 470 of the Laws of 2015 also establishes the requirements for licensure as an occupational therapy assistant, which include, but are not limited to, education, experience, and examination and conforms section 76.7 to Chapter 470 of the Laws of 2015. Chapter 470 of the Laws of 2015 provides for supervision requirements for limited permittees.

The proposed amendment to subdivision (a) of section 76.8 of the Regulations of the Commissioner of Education provides for written supervision plans for occupational therapy assistants, who are licensed or otherwise authorized to practice as occupational therapy assistants by providing occupational therapy and client related services under the direction and supervision of an occupational therapist or a licensed physician.

The proposed amendment to section 76.9 of the Regulations of the Commissioner of Education provides that occupational therapy assistant students with limited permits to practice as exempt persons pursuant to section 7906(4) of the Education Law practice under the direction and supervision of an occupational therapist or a licensed occupational therapy assistant who is under the supervision of an occupational therapist.

The proposed amendment to paragraph (3) of subdivision (a) of section 76.10 of the Regulations of the Commissioner of Education amends the definition of licensee to include occupational therapy assistants licensed pursuant to section 7904-a of the Education Law.

The proposed amendment to paragraph (1) of subdivision (j) of section 76.10 of the Regulations of the Commissioner of Education provides that, inter alia, those licensed to practice as occupational therapy assistants shall be subject to a $25 mandatory continuing competency fee at the beginning of each triennial registration period.

Finally, Chapter 470 of the Laws of 2015 also provides for a grandparenting licensure pathway for individuals to qualify for a license as an occupational therapy assistant, without an examination if they had a current registration on February 3, 2012 with the Department as an occupational therapy assistant and satisfy the specified education, experience, age, moral character and fee requirements for licensure.

This legislation further authorized the Department to develop regulations necessary to implement it.

3. NEEDS AND BENEFITS:

The purpose of the rule is to remove the references in the existing Regulations of the Commissioner of Education regarding the "authorization" of individuals to practice as occupational therapy assistants and replace them with the term "licensure" to better protect the public by establishing licensure requirements for occupational therapy assistants, which will help insure continuing competency across the State. The proposed amendment is necessary to conform the Regulations of the Commissioner of Education to Chapter 470 of the Laws of 2015.

The proposed rule also makes changes to statutory references which are no longer accurate.

4. COSTS:

(a) Costs to State government: The proposed rule implements statutory requirements and establishes standards as directed by statute, and will not impose any additional costs on State government beyond those imposed by the statutory requirements.

(b) Costs to local government: The proposed rule does not impose any additional costs on local government.

(c) Costs to private regulated parties: The proposed rule does not impose any additional costs to regulated parties beyond those imposed by statute. As required by section 7904-a(f) of the Education Law, applicants for licensure as occupational therapy assistants must pay a fee for an initial license and a fee for each triennial registration period that is one-half of the fee for initial license and for each triennial registration period established for occupational therapists. Pursuant to section 7904(8) of the Education Law, applicants for licensure as occupational therapists must pay a fee of $140 to the Department for admission to a Department conducted examination and for an initial license, a fee of $70 for each reexamination, a fee of $115 for an initial license for persons not requiring admission to a Department conducted examination, and a fee of $155 for each triennial registration period. In addition, section 6507-a of the Education Law authorizes the Commissioner to impose a fifteen percent surcharge, rounded upward to the nearest dollar, on any professional registration fee imposed under Title VIII of the Education Law. Thus, pursuant to sections 7904(8), 7904-a(f) and 6507-a of the Education Law, applicants for licensure as occupational therapy assistants will pay a fee of $58 for an initial license and a fee of $89 for each triennial registration period. Applicants for licensure as occupational therapy assistants do not take a Department conducted examination. These fees for applicants for licensure as occupational therapy assistants are the same fees that applicants for authorization to practice as occupational therapy assistants currently pay with under section 76.7(g) of the Regulations of the Commissioner of Education.

The proposed amendment to paragraph (1) of subdivision (j) of section 76.10 of the Regulations of the Commissioner of Education provides that, inter alia, those licensed to practice as occupational therapy assistants shall be subject to a $25 mandatory continuing competency fee at the beginning of each triennial registration period. This is the same mandatory continuing competency fee that authorized occupational therapy assistants are currently required to pay.

Moreover, pursuant to Education Law section 7904-a(b), applicants for licensure as occupational therapy assistants will incur the cost of completion of a two-year associate degree program for occupational therapy assistants registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department, or its substantial equivalent as determined by the Board of Regents. This is comparable to the educational requirement that applicants for authorization to practice as occupational therapy assistants must currently comply with under section 76.7(b) of the Regulations of the Commissioner of Education.

(d) Costs to the regulatory agency: The proposed rule does not impose any additional costs to the Department beyond those imposed by statute. Any associated costs to the Department will be offset by fees charged to applicants and no significant cost will result to the Department.

5. LOCAL GOVERNMENT MANDATES:

The proposed rule implements the requirements of Chapter 470 of the Laws of 2015, by establishing the standards for individuals to be licensed to practice as occupational therapy assistants to ensure that only those properly educated and prepared to be occupational therapy assistants hold themselves out as such. It does not impose any program, service, duty or responsibility upon local governments.

6. PAPERWORK:

The proposed rule imposes no new reporting or other paperwork requirements beyond those imposed by the statute.

7. DUPLICATION:

The proposed rule is necessary to implement Chapter 470 of the Laws of 2015. There are no other State or federal requirements on the subject matter of this proposed rule. Therefore, the proposed rule does not duplicate other existing State or federal requirements.

8. ALTERNATIVES:

The proposed rule is necessary to conform the Regulations of the Commissioner of Education to Chapter 470 of the Laws of 2015. There are no significant alternatives to the proposed rule and none were considered.

9. FEDERAL STANDARDS:

Since, there are no applicable federal standards for occupational therapy assistants, the proposed rule does not exceed any minimum federal standards for the same or similar subject areas.

10. COMPLIANCE SCHEDULE:

The proposed amendment is necessary to conform the Regulations of the Commissioner of Education to Chapter 470 of the Laws of 2015. The proposed rule will become effective on May 18, 2016, which is the effective date of the statute. The proposed amendment does not impose any compliance schedules on regulated parties or local governments beyond the May 18, 2016 effective date.

Regulatory Flexibility Analysis

On November 20, 2015, Governor Cuomo signed into law Chapter 470 of the Laws of 2015, which, among other changes to the law, added a new section 7902-a to the Education Law to establish occupational therapy assistants as licensed professionals and restrict the use of the title of "occupational therapy assistant" to those individuals licensed as occupational therapy assistants. Chapter 470 of the Laws of 2015 also sets forth the requirements for licensure as an occupational therapy assistant and makes changes to the composition of the State Board for Occupational Therapy.

The proposed amendment to the Regulations of the Commissioner of Education is necessary to implement the provisions of Chapter 470 of the Laws of 2015. The proposed amendment provides that only a licensed or otherwise authorized person is permitted to practice as an occupational therapy assistant and use the title occupational therapy assistant. The proposed amendment further establishes the requirements for licensure as an occupational therapy assistant, which include, but are not limited to, education, experience, and examination requirements and conforms section 76.7 to Chapter 470 of the Laws of 2015. The proposed amendment provides that occupational therapy assistant students with limited permits to practice as exempt persons, pursuant to section 7906(4) of the Education Law, shall practice under the direction and supervision of an occupational therapist or a licensed occupational therapy assistant who is under the supervision of an occupational therapist. The proposed amendment also amends the definition of licensee to include occupational therapy assistants licensed to practice pursuant to section 7904-a of the Education Law. The proposed amendment also provides that, among other things, those licensed to practice as occupational therapy assistants shall be subject to a $25 mandatory continuing competency fee at the beginning of each triennial registration period.

The statutory licensure requirements for applicants for licensure as occupational therapy assistants, which the proposed amendment implements, are comparable to requirements with which individuals seeking authorization to practice as occupational therapy assistants are currently required to comply under section 76.7 of the Regulations of the Commissioner of Education.

The proposed amendment will not impose any new reporting, recordkeeping, or other compliance requirements, or any adverse economic impact, on small businesses or local governments. Because it is evident from the nature of the proposed amendment that it will not adversely affect small businesses or local governments, no affirmative steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments is not required, and one has not been prepared.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

The proposed rule will apply to all individuals seeking licensure as occupational therapy assistants, including those located in the 44 rural counties with less than 200,000 inhabitants and the 71 towns in urban counties with a population density of 150 per square mile or less. Of the 3,881 occupational therapy assistants authorized and registered by the State Education Department, 825 occupational therapy assistants report their permanent address of record is in a rural county.

2. REPORTING, RECORDKEEPING AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES:

As required by Chapter 470 of the Laws of 2015, the proposed rule establishes and codifies the requirements for licensure as an occupational therapy assistant which, include, but are not limited to, education, experience, and examination requirements. The licensure requirements of Chapter 470 of the Laws of 2015 are comparable to those that individuals seeking authorization to practice as occupational therapy assistants are currently required to comply with under section 76.7 of the Regulations of the Commissioner of Education.

Chapter 470 also provides for a grandparenting licensure pathway for individuals to qualify for a license as an occupational therapy assistant, without an examination, if they had a current registration on February 3, 2012 with the Department as an occupational therapy assistant and satisfy the specified education, experience, age, moral character and fee requirements for licensure.

The proposed amendment to subdivision (a) of section 76.6 of the Regulations of the Commissioner of Education codifies and defines the practice of an occupational therapy assistant and provides that only a person licensed or otherwise authorized is permitted to practice as an occupational therapy assistant and use the title occupational therapy assistant.

The proposed amendment to section 76.7 of the Regulations of the Commissioner of Education establishes the requirements for licensure as an occupational therapy assistant, which include, but are not limited to, education, experience, and examination requirements.

The proposed amendment to subdivision (a) of section 76.8 of the Regulations of the Commissioner of Education provides for written supervision plans for occupational therapy assistants, who are licensed or otherwise authorized to practice as occupational therapy assistants by providing occupational therapy and client related services under the direction and supervision of an occupational therapist or a licensed physician.

The proposed amendment to section 76.9 of the Regulations of the Commissioner of Education provides that occupational therapy assistant students with limited permits to practice as exempt persons, pursuant to section 7906(4) of the Education Law, practice under the direction and supervision of an occupational therapist or a licensed occupational therapy assistant who is under the supervision of an occupational therapist.

The proposed amendment to paragraph (3) of subdivision (a) of section 76.10 of the Regulations of the Commissioner of Education amends the definition of licensee to include occupational therapy assistants licensed pursuant to section 7904-a of the Education Law.

The proposed amendment to paragraph (1) of subdivision (j) of section 76.10 of the Regulations of the Commissioner of Education provides that, inter alia, those licensed to practice as occupational therapy assistants shall be subject to a $25 mandatory continuing competency fee at the beginning of each triennial registration period.

With the exception of individuals seeking licensure under the grandparenting licensure pathway, individuals seeking licensure to practice as occupational therapy assistants in New York State will be required to submit an application to the State Education Department and meet all the requirements for licensure, which include, but are not limited to, education, experience, and examination requirements specified in the proposed rule. Individuals seeking to work in New York State after completing all the requirements for licensure except the examination and/or experience requirements will be required to submit a limited permit application to the State Education Department.

The proposed rule will not impose any additional professional service requirements on entities in rural areas.

3. COSTS:

With respect to individuals seeking licensure as occupational therapy assistants from the State Education Department, including those in rural areas, the proposed rule does not impose any additional costs beyond those required by statute. As required by section 7904-a(f) of the Education Law, applicants for licensure as occupational therapy assistants must pay a fee for an initial license and a fee for each triennial registration period that is one-half of the fee for initial license and for each triennial registration period established for occupational therapists. Pursuant to section 7904(8) of the Education Law, applicants for licensure as occupational therapists must pay a fee of $140 to the Department for admission to a Department conducted examination and for an initial license, a fee of $70 for each re-examination, a fee of $115 for an initial license for persons not requiring admission to a Department conducted examination, and a fee of $155 for each triennial registration period. In addition, section 6507-a of the Education Law authorizes the Commissioner to impose a fifteen percent surcharge, rounded upward to the nearest dollar, on any professional registration fee imposed under Title VIII of the Education Law. Thus, pursuant to sections 7904(8), 7904-a(f) and 6507-a of the Education Law, applicants for licensure as occupational therapy assistants will pay a fee of $58 for an initial license and a fee of $89 for each triennial registration period. Applicants for licensure as occupational therapy assistants do not take a Department conducted examination. These fees for applicants for licensure as occupational therapy assistants are the same fees that applicants for authorization to practice as occupational therapy assistants are currently required to pay under section 76.7(g) of the Regulations of the Commissioner of Education.

The proposed amendment to paragraph (1) of subdivision (j) of section 76.10 of the Regulations of the Commissioner of Education provides that, inter alia, those licensed to practice as occupational therapy assistants shall be subject to a $25 mandatory continuing competency fee at the beginning of each triennial registration period. This is the same mandatory continuing competency fee that authorized occupational therapy assistants are currently required to pay.

Moreover, pursuant to Education Law section 7904-a(b), applicants for licensure as occupational therapy assistants will incur the cost of completion of a two-year associate degree program for occupational therapy assistants registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department, or its substantial equivalent as determined by the Board of Regents. This is comparable to the educational requirement that applicants for authorization to practice as occupational therapy assistants must currently comply with under section 76.7(b) of the Regulations of the Commissioner of Education.

Therefore, based on the foregoing, the proposed rule does not impose any new or additional fees on or costs to applicants for licensure as occupational therapy assistants.

4. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to implement the provisions of Chapter 470 of the Laws of 2015, which, inter alia, codifies and establishes the licensure requirements for occupational therapy assistants. These licensure requirements include, but are not limited to education, experience, and examination requirements. The statutory requirements do not make exceptions for individuals who live or work in rural areas. Thus, the State Education Department has determined that the proposed rule's requirements should apply to all individuals seeking licensure as occupational therapy assistants, regardless of the geographic location to help insure continuing competency across the State. Because of the nature of the proposed rule, alternative approaches for rural areas were not considered.

5. RURAL AREA PARTICIPATION:

Comments on the proposed rule were solicited from statewide organizations representing all parties having an interest in the practice of occupational therapy. These organizations included the State Board for Occupational Therapy and the New York State Occupational Therapy Association, which represents occupational therapists and occupational therapy assistants. These groups have members that live, work or provide occupational therapy education in rural areas. These groups have been provided notice of the proposed rule making and opportunity to comment on the proposed amendment.

6. INITIAL REVIEW OF RULE (SAPA § 207):

Pursuant to State Administrative Procedure Act section 207(1)(b), the State Education Department proposes that the initial review of this rule shall occur in the fifth calendar year after the year in which the rule is adopted, instead of in the third calendar year. The justification for a five year review period is that the proposed amendment is necessary to implement statutory requirements in Chapter 470 of the Laws of 2015 and, therefore, the substantive provisions of the proposed amendment cannot be repealed or modified unless there is a further statutory change. Accordingly, there is no need for a shorter review period. The State Education Department invites public comment on the proposed five year review period for this rule. Comments should be sent to the agency contact listed in item 16 of the Notice of Emergency Adoption and Proposed Rule Making published herewith, and must be received within 45 days of the State Register publication date of the Notice.

Job Impact Statement

The proposed rule is required to implement Chapter 470 of the Laws of 2015, which codifies the definition of occupational therapy assistant, requires at least one occupational therapist assistant to serve on the State Board for Occupational Therapy and establishes the procedure for obtaining an occupational therapy assistant license. The proposed amendment to subdivision (a) of section 76.6 of the Regulations of the Commissioner of Education provides that only a licensed or otherwise authorized person is permitted to practice as an occupational therapy assistant and use the title occupational therapy assistant. The proposed amendment to section 76.7 of the Regulations of the Commissioner of Education establishes the requirements for licensure as an occupational therapy assistant, which include, but are not limited to, education, experience and examination requirements, and conforms section 76.7 to Chapter 470 of the Laws of 2015. The proposed amendment to subdivision (a) of section 76.8 of the Regulations of the Commissioner of Education provides for written supervision plans for occupational therapy assistants, who are licensed or otherwise authorized to practice as occupational therapy assistants by providing occupational therapy and client related services under the direction and supervision of an occupational therapist or a licensed physician. The proposed amendment to section 76.9 of the Regulations of the Commissioner of Education provides that occupational therapy assistant students with limited permits to practice as exempt persons, pursuant to section 7906(4) of the Education Law, shall practice under the direction and supervision of an occupational therapist or a licensed occupational therapy assistant who is under the supervision of an occupational therapist. The proposed amendment to paragraph (3) of subdivision (a) of section 76.10 of the Regulations of the Commissioner of Education amends the definition of licensee to include occupational therapy assistants licensed to practice pursuant to section 7904-a of the Education Law. The proposed amendment to paragraph (1) of subdivision (j) of section 76.10 of the Regulations of the Commissioner of Education provides that, inter alia, those licensed to practice as occupational therapy assistants shall be subject to a $25 mandatory continuing competency fee at the beginning of each triennial registration period.

It is not anticipated that the proposed rule will increase or decrease the number of jobs to be filled because, among other things, the licensure requirements of Chapter 470 of the Laws of 2015 are comparable to the requirements with which individuals seeking authorization to practice as occupational therapist assistants are currently required to comply under section 76.7 of the Regulations of the Commissioner of Education. Chapter 470 also provides for a grandparenting licensure pathway for individuals to qualify for a license as an occupational therapy assistant, without an examination, if they had a current registration on February 3, 2012 with the Department as an occupational therapy assistant, and satisfy the specified education, experience, age, moral character and fee requirements for licensure.

The amendment will not have a substantial adverse impact on jobs and employment opportunities. Because it is evident from the nature of the proposed amendment that it will not affect job and employment opportunities, no affirmative steps were needed to ascertain that fact and none were taken. Accordingly, a job impact statement is not required, and one has not been prepared.

Department of Environmental Conservation

EMERGENCY RULE MAKING

Peekamoose Valley Riparian Corridor

I.D. No. ENV-23-16-00001-E

Filing No. 789

Filing Date: 2016-08-16

Effective Date: 2016-08-16

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of section 190.35 to Title 6 NYCRR.

Statutory authority: Enviromental Conservation Law, sections 1-0101(3)(b), 3-0301(1)(b), (d), (2)(m), 9-0105(1) and (3)

Finding of necessity for emergency rule: Preservation of public health, public safety and general welfare.

Specific reasons underlying the finding of necessity: The immediate adoption of a new section 190.35 to title 6 of NYCRR, Peekamoose Valley Riparian Corridor, as an emergency rulemaking is necessary for the preservation of the public health, safety and general welfare.

The Peekamoose Valley encompasses more than over 2,000 acres of Forest Preserve land straddling the upper Rondout Creek along Peekamoose Road (Ulster County 42) in the Town of Denning in Ulster County. It is a remote area in the heart of the Catskill Park and New York City's Catskill/Delaware watershed. The upper Rondout Creek flows into the Rondout Reservoir, an important drinking water supply for New York City.

Until recently, most of the public use in the area was concentrated in the Peekamoose primitive camping area. However, day use of the area referred to as the "Blue Hole," a large, deep and very cold swimming hole in the Rondout Creek immediately upstream of the Valley's primitive camping area, has recently increased exponentially, due in part to coverage in social media, several websites, and national magazines which tout the Blue Hole as "one of the best swimming holes in the nation." Due to this dramatic increase in public use, the natural resources of the area are rapidly becoming degraded, fragile ecosystems are being degraded, and serious public health and safety issues are being created. The area is being fouled by human waste, raising concerns about water quality in the Rondout Creek and the New York City reservoir into which it flows. The trampling of vegetation has exposed and compacted the soil. Trees are being stripped of their limbs for firewood, and indiscriminately located campfires are creating numerous carbon scars on the ground. Garbage, trash, and broken glass are despoiling the wild character of the area and raising public safety concerns. The use of portable generators and boom boxes has interfered with the Valley's quiet and solitude. Moreover, the Town of Denning indicates that Peekamoose Road is often not passable by emergency service vehicles because of illegally parked cars, and visitors sometimes stand in the road, putting themselves and passing motorists at risk.

The emergency regulations are tailored to address these problems by creating and delineating a new Peekamose Valley Riparian Corridor ("the Corridor") that will prohibit certain activities within it. Because of the immediate threat to the public health, safety and general welfare posed by the surge in the number of people recreating in the Peekamoose Valley Corridor, it is essential to continue this regulation on an emergency basis, because of heavy use during the summer months. It is essential to immediately take steps to maintain the natural character of the area so that it will be available for sustained public use and enjoyment. Given the significant threats to public health, safety and the environment and the inability of the normal rulemaking process to result in the promulgation of regulations in time for this summer's busy season, it is appropriate to continue this regulation now on an emergency basis.

The use of the emergency rulemaking process is authorized by the State Administrative Procedure Act (SAPA) section 202(6), providing that a State agency may dispense with all or part of the normal rulemaking requirements and adopt a rule on an emergency basis if " the agency finds that the immediate adoption of a rule is necessary for the preservation of the public health, safety or general welfare and that compliance with the normal rulemaking requirements … would be contrary to the public interest …" Because of the immediate threat to the Peekamoose Valley Riparian Corridor as a result of overuse, it is essential to immediately continue this regulation on an emergency basis for the remainder of the 2016 season.

Subject: Peekamoose Valley Riparian Corridor.

Purpose: Protect public health, safety and general welfare, as well as the natural resources on the Peekamoose Valley Riparian Corridor.

Text of emergency rule: Section 190.35 is renumbered 190.36 and a new section 190.35 Peekamoose Valley Riparian Corridor is added to read as follows:

In addition to other applicable general provisions of this Part, the following requirements apply to the Peekamoose Valley Riparian Corridor. In the event of a conflict between this section and another section of this Part, the more restrictive provision will control.

(a) Description. For the purposes of this section, Peekamoose Valley Riparian Corridor means all those state forest preserve lands lying and situated in the Town of Denning in Ulster County located within 300 feet on either side of the centerline of the Roundout Creek, beginning at the New York State land boundary where it crosses Ulster County Route 42 southwest of the Lower Field Parking Area, thence heading northeast for approximately 3.75 miles, and ending with the New York State land boundary approximately one mile east of the Buttermilk Falls parking area, encompassing lands designated by the department as the Sundown Wild Forest and Slide Mountain Wilderness Area of the Catskill Park.

(b) No person shall kindle, build, maintain or use a fire within the Peekamoose Valley Riparian Corridor, including, but not limited to, charcoal fires, wood fires, gas grills, propane stoves or other portable stoves, except at designated campsites.

(c) No person shall possess a glass container within the Peekamoose Valley Riparian Corridor, except when necessary for the storage of prescribed medicines.

(d) No person shall possess a portable generator within the Peekamoose Valley Riparian Corridor, except at designated campsites.

(e) No person shall play a musical instrument or audio device, including, but not limited to, radios, tape players, compact disc or digital players, except at designated campsites unless the noise is rendered inaudible to the public by personal noise-damping devices such as headphones or earbuds. At designated camp sites no person shall use any audio device which is audible outside the immediate area of the campsite.

(f) No person shall deposit or cause to be deposited any solid waste, garbage, food waste, human wastes or other sanitary waste products within the bounds of the Peekamoose Valley Riparian Corridor except at facilities provided and designated by the department.

(g) No person shall park any motor vehicle within the Peekamoose Valley Riparian Corridor except at areas designated and marked by the department as parking areas.

(h) No person shall enter the Peekamoose Valley Riparian Corridor area between one-half hour after sunset and one-half hour before sunrise except for: (1) persons camping at designated campsites; (2) licensed hunters and trappers for the purpose of hunting or trapping; (3) pedestrians using the marked hiking trails crossing the corridor; or (4) persons otherwise authorized by permit issued by the department.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. ENV-23-16-00001-EP, Issue of June 8, 2016. The emergency rule will expire October 14, 2016.

Text of rule and any required statements and analyses may be obtained from: William Rudge, Natural Resources Supervisor, NYS DEC, 21 South Putt Corners Road, New Paltz, NY 12561-1696, (845) 256-3092, email: bill.rudge@dec.ny.gov

Additional matter required by statute: An EAF/Negative Declaration has been prepared in compliance with Article 8 of the Environmental Conservation Law.

Regulatory Impact Statement

1. Statutory authority:

Environmental Conservation Law ("ECL") section 1-0101(3) (b) directs the Department of Environmental Conservation (Department) to guarantee "that the widest range of beneficial uses of the environment is attained without risk to health or safety, unnecessary degradation or other undesirable or unintentional consequences." ECL section 3-0301(1)(b) gives the Department the responsibility to "promote and coordinate management of...land resources to assure their protection, enhancement, provision, allocation, and balanced utilization...and take into account the cumulative impact upon all such resources in promulgating any rule or regulation." ECL section 3-0301(1)(d) authorizes the Department to "provide for the care, custody and control of the Forest Preserve." ECL section 9-0105(1) authorizes the Department to ''[e]xercise care, custody, and control of the several preserves, parks and other State lands described in [Article 9 of the ECL]," which includes Forest Preserve lands. Article XIV, Section 1 of the New York State Constitution provides that the lands of the Forest Preserve "shall be forever kept as wild forest lands." ECL section 3-0301(2) (m) authorizes the Department to adopt rules and regulations "as may be necessary, convenient or desirable to effectuate the purposes of [the ECL]," and ECL 9-0105(3) authorizes the Department to "[m]ake necessary rules and regulations to secure proper enforcement of [ECL Article 9]."

2. Legislative objectives:

Paragraph 1 of section 3 of Article XIV of the New York State Constitution provides that "forest and wild life conservation are. . . policies of the State." Article XIV, section 1 of the New York State Constitution provides that the lands of the Forest Preserve "shall be forever kept as wild forest lands," and ECL sections 3-0301(1)(b) and 9-0105(1) give the Department jurisdiction to manage Forest Preserve lands. The Department is also authorized to promulgate rules and regulations for the use of such lands (see ECL sections 3-0301(2) (m) and 9-0105(3)). Consistent with this authority, the proposed regulations are crafted to protect natural resources and the health, safety and general welfare of those who engage in recreational activities within the Peekamoose Valley Riparian Corridor of the Forest Preserve in the Catskill Park.

3. Needs and benefits:

The Peekamoose Valley is an area encompassing more than 2,000 acres of Forest Preserve lands straddling the upper Rondout Creek along Peekamoose Road (Ulster County 42) in the Town of Denning in Ulster County. The Valley is a remote area in the heart of the Catskill Park and New York City's Catskill/Delaware watershed. The upper Rondout Creek flows into the Rondout Reservoir, an important drinking water supply for New York City. Due to the high quality of the Catskill/Delaware water supply, New York City is one of only five large cities in the country with a surface drinking water supply of such high quality that filtration is not required as a form of treatment.

This Peekamoose Valley has been a popular public destination since the State began acquiring land in the Valley in the 1960's. As early as 1971 the area had been discovered by more distant visitors, including those from urban areas to the south. Camping grew increasingly popular in this remote valley (several thousand people over the course of a typical summer), resulting in garbage and other unacceptable impacts. To address these impacts, the Department instituted a camping permit system and limited camping to designated primitive campsites.

Although in the past, public use of the valley has often been loud, occasionally unlawful, and near or above capacity, until recently most of the public use was concentrated in the Peekamoose primitive camping area. However, during the summer of 2015, day use of the area referred to as the "Blue Hole," a large, deep and very cold swimming hole in the Rondout Creek immediately upstream of the primitive camping area, increased exponentially compared to previous years. This was due in part to coverage in social media, several websites, and national magazines touting the Blue Hole as "one of the best swimming holes in the nation."

Due to this dramatic increase in public use, the natural resources of the area are rapidly becoming despoiled, fragile ecosystems are being degraded, and serious public health and safety issues are being created. The area is being fouled by human waste, raising concerns about water quality in the Rondout Creek and the New York City reservoir into which it flows. The trampling of vegetation has exposed and compacted the soil. Trees are being stripped of their limbs for firewood, and indiscriminately located campfires are creating numerous carbon scars on the ground. Garbage, trash, and broken glass are despoiling the wild character of the area and raising public safety concerns. The use of portable generators and boom boxes has interfered with the Valley's quiet and solitude. Moreover, the Town of Denning indicates that Peekamoose Road is often not passable by emergency service vehicles because of illegally parked cars, and visitors sometimes stand in the road, putting themselves and passing motorists at risk.

In 2015, the Department attempted to address the problems associated with overuse by implementing a number of strategies, including: clearly defining parking lots and limiting parking to those lots; prohibiting parking along the road (as posted by the Town of Denning); performing weekly garbage pick-ups; assigning two seasonal back country stewards to work weekends in the Peekamoose Valley from June through Labor Day; updating our twitter and Facebook pages to notify the public of the issues one may encounter in the Peekamoose/Blue Hole region which included limited parking and crowding; providing a map of the area showing the authorized parking areas; recommending alternative swimming/picnicking areas, including Department campgrounds, which are more suitable and with appropriate facilities; suggesting to media outlets who had posts touting the area that they modify their sites to inform the public of the parking and overuse issues; and maintaining a daily presence of up to three Forest Rangers and Environmental Conservation Officers working in conjunction with the Ulster County Sheriff's office and New York State Police in a joint law enforcement effort to curb illegal use of the area.

In spite of the Department's attempts in 2015 to address the area's problems, public use continued to exceed the area's carrying capacity, continuing to create unsanitary conditions, threats to water quality, trampled vegetation and a dramatic degradation of the wild character of the area.

Local municipal leaders, the Department, New York City Department of Environmental Protection (DEP) staff, law enforcement and public safety officials met on September 3, 2015 to address management issues at the Blue Hole. Several additional strategies were agreed upon for the 2016 season. Those at the meeting agreed to increase public outreach and education efforts by erecting new kiosks with information that would present themes related to water quality and drinking water protection (such as "This is Your Drinking Water") as well as emphasizing responsibility for careful treatment of the resource ("leave no trace/carry it in, carry it out" ethics). NYCDEP agreed to seek at least one seasonal bilingual intern to help educate the public about the natural resources at this site. Other agreed upon strategies include: continuing current public outreach efforts using social media, web sites and print media and maintaining a law enforcement presence in partnership with Environmental Conservation Officers, Forest Rangers and County and State Police.

Those at the meeting also agreed that the Department should develop special regulations for the Valley because existing regulations, at 6 NYCRR Part 190, apply generically to all lands under the Department's jurisdiction and do not adequately address the problems that are unique to the Valley and do not enable the Valley's natural resources to be protected. Therefore, the Department proposes to promulgate regulations for the Peekamoose Valley Riparian Corridor.

The proposed regulations define the Peekamoose Valley Corridor as a 600 foot wide corridor on New York State Forest Preserve lands located within 300 feet on either side of the centerline of the Rondout Creek, beginning at the New York State land boundary where it crosses Ulster County Route 42 southwest of the Lower Field Parking Area, thence heading northeast for approximately 3.75 miles, and ending with the New York State land boundary approximately one mile east of the Buttermilk Falls parking area.

The proposed regulations prohibit the deposition of human waste within the Corridor except at designated facilities provided by the Department, thereby protecting the water quality of the Roundout Creek and the Roundout Reservoir, a critical part of New York City's water supply.

To address the problem of broken glass, the regulations will prohibit the use of glass containers in the Corridor except when necessary to store prescription medications. The regulations will prohibit the use of portable generators and audio devices in the Corridor, helping to restore quiet and solitude for the public. The regulations will also restrict the hours of public use in the area to one half hour before sunrise to one half hour after sunset, thereby reducing or eliminating partying at the site by prohibiting the public from being in the area at night, when the greatest amount of abusive partying occurs. The regulations will also protect the public health and safety by requiring the public to leave the area at times when sufficient daylight allows for safe passage over uneven and steep terrain.

Local law enforcement and public safety officials are the first responders to incidents on this property. Local governments support the regulatory proposal and local law enforcement personnel will assist the Department with enforcement.

Information regarding the Department's intent to propose a regulation, content of the regulation and the public process associated with the rulemaking will appear in a widely- distributed newspaper in the area. In addition, a public meeting in the local community will be held during the formal regulatory comment period. All regulatory documents will appear on the Department's website.

4. Costs:

No costs to the regulated community are anticipated to result from the adoption of the proposed regulations. Costs to the State for the additional management actions are minimal and are estimated as follows: $4,000 for a kiosk and new signage; $1,000 for boulders to prohibit parking/define parking areas; $2,500/year for port-a-john rental/service; and $2,000/year for bear-proof refuse container rental/service.

5. Local government mandates:

This proposal will not impose any program, service, duty or responsibility upon any county, city, town, village, school district or fire district.

6. Paperwork:

The proposed regulations will not impose any reporting requirements or other paperwork on any private or public entity.

7. Duplication:

There is no duplication, conflict, or overlap with State or Federal regulations.

8. Alternatives:

The no-action alternative is not feasible since it does not adequately protect the Peekamoose Valley Riparian Corridor from overuse and abuse and does not protect the public health, safety and general welfare. The existing generic 6 NYCRR Part 190 regulations for State lands are inadequate in protecting the Peekamoose Valley Riparian Corridor because of its unique characteristics, remote location and high level of public use.

Closing the area to public use is also not an acceptable alternative. Forest Preserve land is acquired for the use of and enjoyment by the public. ECL section 9-0301(1) provides that "all lands in the Catskill Park. . . shall be forever reserved and maintained for the free use of all the people. . ." The closure of Forest Preserve land to public use should not occur except when absolutely necessary to protect public health or the resource.

9. Federal standards:

There is no relevant federal standard governing the use of State lands.

10. Compliance schedule:

Once the regulations are adopted, they are effective immediately, and all persons will be expected to comply with them upon their effective date. The Department will educate the public about the regulations through information posted on the Departments' web site, signage posted on the property, and by working with user groups and other stakeholders to help disseminate information regarding the regulations.

Regulatory Flexibility Analysis

Adoption of a new section 190.35 to 6 NYCRR will address overuse and increase public safety on the Peekamoose Valley Riparian Corridor while still providing a quality outdoor experience for users. A Regulatory Flexibility Analysis for Small Businesses and Local Governments is not submitted with these regulations because the proposal will not impose any reporting, record-keeping or other compliance requirements on small businesses or local governments.

Since there are no identified cost impacts for compliance with the proposed regulations on the part of small businesses and local governments, they will bear no economic impact as a result of this proposal. The proposed regulations relate solely to protecting public safety and natural resources on the Peekamoose Valley Riparian Corridor.

Rural Area Flexibility Analysis

Adoption of a new subdivision 190.35 to 6 NYCRR will address overuse and increase public safety on the Peekamoose Valley Riparian Corridor while still providing a quality outdoor experience for users. A Rural Area Flexibility Analysis is not submitted with this proposal because the proposal will not impose any reporting, record-keeping or other compliance requirements on rural areas. The proposed regulations relate solely to protecting public safety and natural resources on the Peekamoose Valley Riparian Corridor.

Job Impact Statement

A Job Impact Statement is not submitted with this proposal because the proposal will have no substantial adverse impacts on existing or future jobs and employment opportunities. The proposed regulations relate solely to protecting natural resources and public safety on the Lower Salmon River State Forest. The proposed regulations should enhance the public's enjoyment of these lands, and local businesses may benefit from the attraction of potential customers to the area.

Assessment of Public Comment

The 45 day public comment period from June 8 thru July 23, 2016 resulted in eight written comments. In addition the Department hosted a public meeting on June 21, 2016 in the local community to explain the regulations and receive public comments. Approximately 20 people attended the meeting and several made verbal comments.

Comment: Strongly support the proposed regulations. Feels that the regulations will help deter abuse and overuse of the property. (eight written comments, several verbal comments)

Response: Thank you.

Comment: Post "Park head-on" signs to encourage people to park in the most efficient way, given the limited parking available.

Response: The Department will look into ways to delineate parking spaces in gravel lots to improve parking.

Comment: Limit the number of people who use the property on a given day. Require permits for camping and day use.

Response: The new regulations are intended to help reduce natural resource damage by addressing the types of uses, not the number of users, which is limited by available parking. If this approach is unsuccessful, limiting the number of users could be considered.

Comment: Need more officers to enforce the regulations.

Response: The Department is working with other agencies including the State Police, New York City Department of Environmental Protection, and Ulster County to assist with law enforcement in the valley.

Comment: Hiking trailhead parking is not useable due to Blue Hole visitors filling it up.

Response: The trailhead parking lot is available to people accessing the forest preserve for a variety of public uses, including hiking, hunting, backpacking, fishing and picnicking.

Comment: What are the results of water samples taken downstream of the Blue Hole?

Response: Water quality samples have not shown adverse impacts to water quality.

Comment: Can New York City Department of Environmental Protection close the road to protect the drinking water supply?

Response: No.

Comment: No cell service delays emergency response.

Response: The Department does not provide cell service, but we recognize this problem and are working to improve radio reception for emergency response.

Comment: Prohibit diving or swinging from a rope in the Blue Hole.

Response: The Department prohibits rope swings and removes them when found.

Comment: Any progress on a radio repeater?

Response: Yes, we are working to develop a repeater on private land that will improve radio reception for law enforcement and emergency response organizations.

Comment: Prohibit shooting.

Response: Hunting with a firearm is allowed on state forest preserve lands consistent with all laws and rules and regulations.

Comment: Get people off the road.

Response: The Department is considering the construction of a pedestrian trail from the trailhead parking lot to the Blue Hole Kiosk to reduce pedestrian use of the road. This proposal will be included in the Sundown Wild Forest Unit Management Plan revision.

Comment: Bear-proof dumpsters and outhouses are needed.

Response: The Department has made arrangements for a bear-proof dumpster and a port-a-john at the Blue Hole from Memorial Day through Columbus Day weekends.

Department of Financial Services

EMERGENCY RULE MAKING

Standard Financial Aid Award Information Sheet for Institutions of Higher Education

I.D. No. DFS-03-16-00003-E

Filing No. 781

Filing Date: 2016-08-12

Effective Date: 2016-08-12

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of Part 421 to Title 3 NYCRR.

Statutory authority: Banking Law, section 9-w

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: I, Maria T. Vullo, Superintendent of Financial Services, do hereby certify that the foregoing Part 421 of Title 3 of the Official Compilation of Codes, Rules and Regulations of the State of New York, entitled "Financial Aid Award Information Sheet" was duly adopted on an emergency basis on June 16, 2016 pursuant to the authority granted by Section 9-w of the New York Banking Law.

I determined that it is necessary for the preservation of the general welfare that this regulation be adopted on an emergency basis as authorized by section 202(6) of the State Administrative Procedure Act, effective immediately upon filing with the Department of State.

This regulation is adopted as an emergency measure because time is of the essence. Banking Law Section 9-w requires schools to use a standard financial aid information letter in responding to all financial aid applicants for the 2016-2017 academic year and thereafter. Schools are currently sending award packages and the regulations provide important clarity for schools using the model financial aid information letter. An April 2016 amendment to Banking Law Section 9-w, which took effect immediately, required amended emergency regulations. In order for schools to comply with Banking Law Section 9-w, these rules are being re-adopted on an emergency basis.

No other publication or prior notice is required by statute.

Subject: Standard financial aid award information sheet for institutions of higher education.

Purpose: Provides guidance to institutions of higher education for the implementation of a financial aid award information sheet.

Text of emergency rule: *PART 421*

FINANCIAL AID AWARD INFORMATION SHEET

§ 421.1 Scope and application of this Part

Section 9-w of the Banking Law authorizes the superintendent to adopt rules and regulations for the implementation of a standard financial aid award letter.

§ 421.2 Definitions

For purposes of this Part, unless otherwise stated herein, terms shall have the same meaning as set forth in section 601 of New York State Education Law.

§ 421.3 Content and Delivery of Financial Aid Award Information Sheet On or After May 15, 2016

(a) In responding to an incoming or prospective undergraduate student's financial aid application on or after May 15, 2016, a college, vocational institution or other institution that offers an approved program as defined in section 601 of the Education Law shall provide the letter required in section 9-w of the Banking Law, hereby referred to as the "Financial Aid Award Information Sheet", in the form available at www.dfs.ny.gov/studentprotection.

(b) For purposes of the Financial Aid Award Information Sheet, the

term "Campus" shall mean an institution affiliated with a single U.S. Department of Education Office of Postsecondary Education Identification code.

§ 421.4 Content and Delivery of Financial Aid Award Information Sheet Prior to May 15, 2016

(a) In responding to an incoming or prospective undergraduate student's financial aid application prior to May 15, 2016, a college, vocational institution or other institution that offers an approved program as defined in section 601 of the Education Law shall provide the Financial Aid Award Information Sheet in accordance with section 421.3 of this Part or satisfy the requirements in subsections 421.4(b) and 421.4(c) of this Part.

(b) Beginning on or before February 1, 2016, and ending on or after September 1, 2016, a college, vocational institution or other institution that offers an approved program as defined in section 601 of the Education Law that offers financial aid to undergraduate students shall publish online an "Interim Period Financial Aid Award Information Sheet" in the form available at www.dfs.ny.gov/studentprotection.

(c) In responding to an incoming or prospective undergraduate student's financial aid application before May 15, 2016, a college, vocational institution or other institution that offers an approved program as defined in section 601 of the Education Law shall include in, or accompany with, the response a clear and conspicuous disclosure stating "Additional Information Including Estimated Cost of Attendance Can be Found On the Web Page Below" and setting forth the URL address of the webpage that includes a completed Interim Period Financial Aid Award Information Sheet. For responses to an incoming or prospective undergraduate student's financial aid application between January 1, 2016 and February 1, 2016, this disclosure shall be provided by February 1, 2016.

(d) For purposes of the Interim Period Financial Aid Award Information Sheet, the term "Campus" shall mean an institution affiliated with a single U.S. Department of Education Office of Postsecondary Education Identification code.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. DFS-03-16-00003-EP, Issue of January 20, 2016. The emergency rule will expire October 10, 2016.

Text of rule and any required statements and analyses may be obtained from: Max Dubin, Department of Financial Services, One State Street, New York, NY 10004, (212) 480-7232, email: max.dubin@dfs.ny.gov

Regulatory Impact Statement

1. Statutory Authority: The Superintendent of Financial Services' ("Superintendent") authority for the promulgation of this rule derives from New York Banking Law § 9-w, which calls on the Superintendent to promulgate regulations implementing that section.

2. Legislative Objectives: The Legislature called on the Superintendent to issue this rule to implement New York Banking Law § 9-w, which requires all New York schools to use a uniform financial aid award letter. The Legislature mandated a uniform financial aid letter to give students a better understanding of the costs of a particular school and the options to pay for the education. The uniform letter will also help students to easily compare costs and financial aid options between schools.

3. Needs and Benefits: DFS consulted the New York State Higher Education Services Corporation for thoughts and challenges associated with implementing the form required in Banking Law § 9-w. The rule is required by New York Banking Law § 9-w. The rule provides needed guidance to institutions of higher education, including when and to whom schools must provide the financial aid award letter.

4. Costs: This rule does not create any additional costs to regulated parties or state and local governments. Any costs incurred by higher education institutions in implementing a standard financial aid award information sheet, including building any information technology infrastructure to generate and send the award sheets, were imposed by the Legislature by statute. No new costs are created by this rule, which simply implements New York Banking Law § 9-w.

5. Local Government Mandates: The rule does not create any new local government mandates.

6. Paperwork: There are no new paperwork requirements created by the rule.

7. Duplication: Some institutions of higher education have volunteered to, and in some cases are required, to use a standard student shopping sheet developed by the U.S. Department of Education when responding to financial aid applications. DFS consulted with U.S. Department of Education and designed a model shopping sheet that would meet federal and state requirements. New York schools already committed to using the federal form can add a supplement to their existing form to meet both requirements and avoid duplicative financial aid award information sheets.

8. Alternatives: No significant alternatives to the rule were considered.

9. Federal Standards: The rule does not exceed any federal standards.

10. Compliance Schedule: The rule should not take any time to implement. It has been previously proposed as a permanent rule and adopted on an emergency basis.

Regulatory Flexibility Analysis

The rule will not impose any new adverse economic impact or reporting, record keeping or other compliance requirements on small businesses and local governments. The rule implements Banking Law § 9-w. Some of the covered educational institutions may be small businesses. Any costs or compliance requirements were created statutorily by the Legislature and this rule does not create any additional costs or requirements.

Rural Area Flexibility Analysis

The rule will not impose any new adverse economic impact on rural areas or reporting, record keeping or other compliance requirements on public or private entities in rural areas. The rule implements Banking Law § 9-w. Some of the covered educational institutions are located in rural areas. However, the rule does not impose any new costs or compliance requirements. Any costs or compliance requirements were created statutorily by the Legislature.

Job Impact Statement

The rule should have no adverse impact on jobs and employment opportunities in New York. The rule implements Banking Law § 9-w. It does not create any new burden or costs to businesses that are not already required by statute.

Assessment of Public Comment

The agency received no public comment

EMERGENCY RULE MAKING

Business Conduct of Mortgage Loan Servicers

I.D. No. DFS-35-16-00016-E

Filing No. 790

Filing Date: 2016-08-16

Effective Date: 2016-08-18

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of Part 419 to Title 3 NYCRR.

Statutory authority: Banking Law, art. 12-D

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: The legislature required the registration of mortgage loan servicers as part of the Mortgage Lending Reform Law of 2008 (Ch. 472, Laws of 2008, hereinafter, the "Mortgage Lending Reform Law") to help address the existing foreclosure crisis in the state. By registering servicers and requiring that servicers engage in the business of mortgage loan servicing in compliance with rules and regulations adopted by the Superintendent, the legislature intended to help ensure that servicers conduct their business in a manner acceptable to the Department. However, since the passage of the Mortgage Lending Reform Law, foreclosures continue to pose a significant threat to New York homeowners. The Department continues to receive complaints from homeowners and housing advocates that mortgage loan servicers' response to delinquencies and their efforts at loss mitigation are inadequate. These rules are intended to provide clear guidance to mortgage loan servicers as to the procedures and standards they should follow with respect to loan delinquencies. The rules impose a duty of fair dealing on loan servicers in their communications, transactions and other dealings with borrowers. In addition, the rule sets standards with respect to the handling of loan delinquencies and loss mitigation. The rule further requires specific reporting on the status of delinquent loans with the Department so that it has the information necessary to assess loan servicers' performance.

In addition to addressing the pressing issue of mortgage loan delinquencies and loss mitigation, the rule addresses other areas of significant concern to homeowners, including the handling of borrower complaints and inquiries, the payment of taxes and insurance, crediting of payments and handling of late payments, payoff balances and servicer fees. The rule also sets forth prohibited practices such as engaging in deceptive practices or placing homeowners' insurance on property when the servicers has reason to know that the homeowner has an effective policy for such insurance.

Subject: Business conduct of mortgage loan servicers.

Purpose: To implement the purpose and provisions of the Mortgage Lending Reform Law of 2008 with respect to mortgage loan servicers.

Substance of emergency rule: Section 419.1 contains definitions of terms that are used in Part 419 and not otherwise defined in Part 418, including "Servicer", "Qualified Written Request" and "Loan Modification".

Section 419.2 establishes a duty of fair dealing for Servicers in connection with their transactions with borrowers, which includes a duty to pursue loss mitigation with the borrower as set forth in Section 419.11.

Section 419.3 requires compliance with other State and Federal laws relating to mortgage loan servicing, including Banking Law Article 12-D, RESPA, and the Truth-in-Lending Act.

Section 419.4 describes the requirements and procedures for handling to consumer complaints and inquiries.

Section 419.5 describes the requirements for a servicer making payments of taxes or insurance premiums for borrowers.

Section 419.6 describes requirements for crediting payments from borrowers and handling late payments.

Section 419.7 describes the requirements of an annual account statement which must be provided to borrowers in plain language showing the unpaid principal balance at the end of the preceding 12-month period, the interest paid during that period and the amounts deposited into and disbursed from escrow. The section also describes the Servicer's obligations with respect to providing a payment history when requested by the borrower or borrower's representative.

Section 419.8 requires a late payment notice be sent to a borrower no later than 17 days after the payment remains unpaid.

Section 419.9 describes the required provision of a payoff statement that contains a clear, understandable and accurate statement of the total amount that is required to pay off the mortgage loan as of a specified date.

Section 419.10 sets forth the requirements relating to fees permitted to be collected by Servicers and also requires Servicers to maintain and update at least semi-annually a schedule of standard or common fees on their website.

Section 419.11 sets forth the Servicer's obligations with respect to handling of loan delinquencies and loss mitigation, including an obligation to make reasonable and good faith efforts to pursue appropriate loss mitigation options, including loan modifications. This Section includes requirements relating to procedures and protocols for handling loss mitigation, providing borrowers with information regarding the Servicer's loss mitigation process, decision-making and available counseling programs and resources.

Section 419.12 describes the quarterly reports that the Superintendent may require Servicers to submit to the Superintendent, including information relating to the aggregate number of mortgages serviced by the Servicer, the number of mortgages in default, information relating to loss mitigation activities, and information relating to mortgage modifications.

Section 419.13 describes the books and records that Servicers are required to maintain as well as other reports the Superintendent may require Servicers to file in order to determine whether the Servicer is complying with applicable laws and regulations. These include books and records regarding loan payments received, communications with borrowers, financial reports and audited financial statements.

Section 419.14 sets forth the activities prohibited by the regulation, including engaging in misrepresentations or material omissions and placing insurance on a mortgage property without written notice when the Servicer has reason to know the homeowner has an effective policy in place.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt this emergency rule as a permanent rule and will publish a notice of proposed rule making in the *State Register* at some future date. The emergency rule will expire November 13, 2016.

Text of rule and any required statements and analyses may be obtained from: Hadas A. Jacobi, Senior Attorney, NYS Department of Financial Services, 1 State Street, New York, NY 10004, (212) 480-5890, email: hadas.jacobi@dfs.ny.gov

Regulatory Impact Statement

1. Statutory Authority.

Article 12-D of the Banking Law, as amended by the Legislature in the Mortgage Lending Reform Law of 2008 (Ch. 472, Laws of 2008, hereinafter, the "Mortgage Lending Reform Law"), creates a framework for the regulation of mortgage loan servicers. Mortgage loan servicers are individuals or entities which engage in the business of servicing mortgage loans for residential real property located in New York. That legislation also authorizes the adoption of regulations implementing its provisions. (See, e.g., Banking Law Sections 590(2) (b-1) and 595-b.)

Subsection (1) of Section 590 of the Banking Law was amended by the Mortgage Lending Reform Law to add the definitions of "mortgage loan servicer" and "servicing mortgage loans". (Section 590(1)(h) and Section 590(1)(i).)

A new paragraph (b-1) was added to Subdivision (2) of Section 590 of the Banking Law. This new paragraph prohibits a person or entity from engaging in the business of servicing mortgage loans without first being registered with the Superintendent. The registration requirements do not apply to an "exempt organization," licensed mortgage banker or registered mortgage broker.

This new paragraph also authorizes the Superintendent to refuse to register an MLS on the same grounds as he or she may refuse to register a mortgage broker under Banking Law Section 592-a(2).

Subsection (3) of Section 590 was amended by the Subprime Law to clarify the power of the banking board to promulgate rules and regulations and to extend the rulemaking authority regarding regulations for the protection of consumers and regulations to define improper or fraudulent business practices to cover mortgage loan servicers, as well as mortgage bankers, mortgage brokers and exempt organizations. The functions and powers of the banking board have since been transferred to the Superintendent of Financial Services, pursuant to Part A of Chapter 62 of the Laws of 2011, Section 89.

New Paragraph (d) was added to Subsection (5) of Section 590 by the Mortgage Lending Reform Law and requires mortgage loan servicers to engage in the servicing business in conformity with the Banking Law, such rules and regulations as may be promulgated by the Banking Board or prescribed by the Superintendent, and all applicable federal laws, rules and regulations.

New Subsection (1) of Section 595-b was added by the Mortgage Lending Reform Law and requires the Superintendent to promulgate regulations and policies governing the grounds to impose a fine or penalty with respect to the activities of a mortgage loan servicer. Also, the Mortgage Lending Reform Law amends the penalty provision of Subdivision (1) of Section 598 to apply to mortgage loan servicers as well as to other entities.

New Subdivision (2) of Section 595-b was added by the Mortgage Lending Reform Law and authorizes the Superintendent to prescribe regulations relating to disclosure to borrowers of interest rate resets, requirements for providing payoff statements, and governing the timing of crediting of payments made by the borrower.

Section 596 was amended by the Mortgage Lending Reform Law to extend the Superintendent's examination authority over licensees and registrants to cover mortgage loan servicers. The provisions of Banking Law Section 36(10) making examination reports confidential are also extended to cover mortgage loan servicers.

Similarly, the books and records requirements in Section 597 covering licensees, registrants and exempt organizations were amended by the Mortgage Lending Reform Law to cover servicers and a provision was added authorizing the Superintendent to require that servicers file annual reports or other regular or special reports.

The power of the Superintendent to require regulated entities to appear and explain apparent violations of law and regulations was extended by the Mortgage Lending Reform Law to cover mortgage loan servicers (Subdivision (1) of Section 39), as was the power to order the discontinuance of unauthorized or unsafe practices (Subdivision (2) of Section 39) and to order that accounts be kept in a prescribed manner (Subdivision (5) of Section 39).

Finally, mortgage loan servicers were added to the list of entities subject to the Superintendent's power to impose monetary penalties for violations of a law, regulation or order. (Paragraph (a) of Subdivision (1) of Section 44).

The fee amounts for mortgage loan servicer registration and branch applications are established in accordance with Banking Law Section 18-a.

2. Legislative Objectives.

The Mortgage Lending Reform Law was intended to address various problems related to residential mortgage loans in this State. The law reflects the view of the Legislature that consumers would be better protected by the supervision of mortgage loan servicing. Even though mortgage loan servicers perform a central function in the mortgage industry, there had previously been no general regulation of servicers by the state or the Federal government.

The Mortgage Lending Reform Law requires that entities be registered with the Superintendent in order to engage in the business of servicing mortgage loans in this state. The new law further requires mortgage loan servicers to engage in the business of servicing mortgage loans in conformity with the rules and regulations promulgated by the Banking Board and the Superintendent.

The mortgage servicing statute has two main components: (i) the first component addresses the registration requirement for persons engaged in the business of servicing mortgage loans; and (ii) the second authorizes the Superintendent to promulgate appropriate rules and regulations for the regulation of servicers in this state.

Part 418 of the Superintendent's Regulations, initially adopted on an emergency basis on July 1 2009, addresses the first component of the mortgage servicing statute by setting standards and procedures for applications for registration as a mortgage loan servicer, for approving and denying applications to be registered as a mortgage loan servicer, for approving changes of control, for suspending, terminating or revoking the registration of a mortgage loan servicer as well as setting financial responsibility standards for mortgage loan servicers.

Part 419 addresses the business practices of mortgage loan servicers in connection with their servicing of residential mortgage loans. This part addresses the obligations of mortgage loan servicers in their communications, transactions and general dealings with borrowers, including the handling of consumer complaints and inquiries, handling of escrow payments, crediting of payments, charging of fees, loss mitigation procedures and provision of payment histories and payoff statements. This part also imposes certain recordkeeping and reporting requirements in order to enable the Superintendent to monitor services' conduct and prohibits certain practices such as engaging in deceptive business practices.

Collectively, the provisions of Part 418 and 419 implement the intent of the Legislature to register and supervise mortgage loan servicers.

3. Needs and Benefits.

The Mortgage Lending Reform Law adopted a multifaceted approach to the lack of supervision of the mortgage loan industry, particularly with respect to servicing and foreclosure. It addressed a variety of areas in the residential mortgage loan industry, including: i. loan originations; ii. loan foreclosures; and iii. the conduct of business by residential mortgage loans servicers.

Until July 1, 2009, when the mortgage loan servicer registration provisions first became effective, the Department regulated the brokering and making of mortgage loans, but not the servicing of these mortgage loans. Servicing is vital part of the residential mortgage loan industry; it involves the collection of mortgage payments from borrowers and remittance of the same to owners of mortgage loans; to governmental agencies for taxes; and to insurance companies for insurance premiums. Mortgage servicers also act as agents for owners of mortgages in negotiations relating to loss mitigation when a mortgage becomes delinquent. As "middlemen," moreover, servicers also play an important role when a property is foreclosed upon. For example, the servicer may typically act on behalf of the owner of the loan in the foreclosure proceeding.

Further, unlike in the case of a mortgage broker or a mortgage lender, borrowers cannot "shop around" for loan servicers, and generally have no input in deciding what company services their loans. The absence of the ability to select a servicer obviously raises concerns over the character and viability of these entities given the central part of they play in the mortgage industry. There also is evidence that some servicers may have provided poor customer service. Specific examples of these activities include: pyramiding late fees; misapplying escrow payments; imposing illegal prepayment penalties; not providing timely and clear information to borrowers; erroneously force-placing insurance when borrowers already have insurance; and failing to engage in prompt and appropriate loss mitigation efforts.

More than 2,000,000 loans on residential one-to-four family properties are being serviced in New York. Of these over 9% were seriously delinquent as of the first quarter of 2012. Despite various initiatives adopted at the state level and the creation of federal programs such as Making Home Affordable to encourage loan modifications and help at risk homeowners, the number of loans modified, have not kept pace with the number of foreclosures. Foreclosures impose costs not only on borrowers and lenders but also on neighboring homeowners, cities and towns. They drive down home prices, diminish tax revenues and have adverse social consequences and costs.

As noted above, Part 418, initially adopted on an emergency basis on July 1 2009, relates to the first component of the mortgage servicing statute – the registration of mortgage loan servicers. It was intended to ensure that only those persons and entities with adequate financial support and sound character and general fitness will be permitted to register as mortgage loan servicers. It also provided for the suspension, revocation and termination of licensees involved in wrongdoing and establishes minimum financial standards for mortgage loan servicers.

Part 419 addresses the business practices of mortgage loan servicers and establishes certain consumer protections for homeowners whose residential mortgage loans are being serviced. These regulations provide standards and procedures for servicers to follow in their course of dealings with borrowers, including the handling of borrower complaints and inquiries, payment of taxes and insurance premiums, crediting of borrower payments, provision of annual statements of the borrower's account, authorized fees, late charges and handling of loan delinquencies and loss mitigation. Part 419 also identifies practices that are prohibited and imposes certain reporting and record-keeping requirements to enable the Superintendent to determine the servicer's compliance with applicable laws, its financial condition and the status of its servicing portfolio.

Since the adoption of Part 418, 67 entities have been approved for registration or have pending applications and nearly 400 entities have indicated that they are a mortgage banker, broker, bank or other organization exempt from the registration requirements.

All Exempt Organizations, mortgage bankers and mortgage brokers that perform mortgage loan servicing with respect to New York mortgages must notify the Superintendent that they do so, and are required to comply with the conduct of business and consumer protection rules applicable to mortgage loan servicers.

These regulations will improve accountability and the quality of service in the mortgage loan industry and will help promote alternatives to foreclosure in the state.

4. Costs.

The requirements of Part 419 do not impose any direct costs on mortgage loan servicers. Although mortgage loan servicers may incur some additional costs as a result of complying with Part 419, the overwhelming majority of mortgage loan servicers are banks, operating subsidiaries or affiliates of banks, large independent servicers or other financial services entities that service millions, and even billions, of dollars in loans and have the experience, resources and systems to comply with these requirements. Moreover, any additional costs are likely to be mitigated by the fact that many of the requirements of Part 419, including those relating to the handling of residential mortgage delinquencies and loss mitigation (419.11) and quarterly reporting (419.12), are consistent with or substantially similar to standards found in other federal or state laws, federal mortgage modification programs or servicers own protocols.

For example, Fannie Mae and Freddie Mac, which own or insure approximately 90% of the nation's securitized mortgage loans, have similar guidelines governing various aspects of mortgage servicing, including handling of loan delinquencies. In addition, over 100 mortgage loan servicers participate in the federal Making Home Affordable (MHA) program which requires adherence to standards for handling of loan delinquencies and loss mitigation similar to those contained in these regulations. Those servicers not participating in MHA have, for the most part, adopted programs which parallel many components of MHA.

Reporting on loan delinquencies and loss mitigation has likewise become increasingly common. The OCC publish quarterly reports on credit performance, loss mitigation efforts and foreclosures based on data provided by national banks and thrifts. And, states such as Maryland and North Carolina have adopted similar reporting requirements to those contained in section 419.12.

Many of the other requirements of Part 419 such as those related to handling of taxes, insurance and escrow payments, collection of late fees and charges, crediting of payments derive from federal or state laws and reflect best industry practices. The periodic reporting and bookkeeping and record keeping requirements are also standard among financial services businesses, including mortgage bankers and brokers (see, for example section 410 of the Superintendent's Regulations).

The ability by the Department to regulate mortgage loan servicers is expected to reduce costs associated with responding to consumers' complaints, decrease unnecessary expenses borne by mortgagors, and should assist in decreasing the number of foreclosures in this state.

The regulations will not result in any fiscal implications to the State. The Department is funded by the regulated financial services industry. Fees charged to the industry will be adjusted periodically to cover Department expenses incurred in carrying out this regulatory responsibility.

5. Local Government Mandates.

None.

6. Paperwork.

Part 419 requires mortgage loan servicers to keep books and records related to its servicing for a period of three years and to produce quarterly reports and financial statements as well as annual and other reports requested by the Superintendent. It is anticipated that the quarterly reporting relating to mortgage loan servicing will be done electronically and would therefore be virtually paperless. The other recordkeeping and reporting requirements are consistent with standards generally required of mortgage bankers and brokers and other regulated financial services entities.

7. Duplication.

The regulation does not duplicate, overlap or conflict with any other regulations. The various federal laws that touch upon aspects of mortgage loan servicing are noted in Section 9 "Federal Standards" below.

8. Alternatives.

The Mortgage Lending Reform Law required the registration of mortgage loan servicers and empowered the Superintendent to prescribe rules and regulations to guide the business of mortgage servicing. The purpose of the regulation is to carry out this statutory mandate to register mortgage loan servicers and regulate the manner in which they conduct business. The Department circulated a proposed draft of Part 419 and received comments from and met with industry and consumer groups. The current Part 419 reflects the input received. The alternative to these regulations is to do nothing or to wait for the newly created federal bureau of consumer protection to promulgate national rules, which could take years, may not happen at all or may not address all the practices covered by the rule. Thus, neither of those alternatives would effectuate the intent of the legislature to address the current foreclosure crisis, help at-risk homeowners vis-à-vis their loan servicers and ensure that mortgage loan servicers engage in fair and appropriate servicing practices.

9. Federal Standards.

Currently, mortgage loan servicers are not required to be registered by any federal agencies, and there are no comprehensive federal rules governing mortgage loan servicing. Federal laws such as the Real Estate Settlement Procedures Act of 1974, 12 U.S.C. § 2601 et seq. and regulations adopted thereunder, 24 C.F.R. Part 3500, and the Truth-in-Lending Act, 15 U.S.C. section 1600 et seq. and Regulation Z adopted thereunder, 12 C.F.R. section 226 et seq., govern some aspects of mortgage loan servicing, and there have been some recent amendments to those laws and regulations regarding mortgage loan servicing. For example, Regulation Z, 12 C.F.R. section 226.36(c), was recently amended to address the crediting of payments, imposition of late charges and the provision of payoff statements. In addition, the recently enacted Dodd-Frank Wall Street Reform and Protection Act of 2010 (Dodd-Frank Act) establishes requirements for the handling of escrow accounts, obtaining force-placed insurance, responding to borrower requests and providing information related to the owner of the loan.

Additionally, the newly created Bureau of Consumer Financial Protection established by the Dodd-Frank Act may soon propose additional regulations for mortgage loan servicers.

10. Compliance Schedule.

Similar emergency regulations first became effective on October 1, 2010.

Regulatory Flexibility Analysis

1. Effect of the Rule:

The rule will not have any impact on local governments. The Mortgage Lending Reform Law of 2008 (Ch. 472, Laws of 2008, hereinafter, the "Mortgage Lending Reform Law") requires all mortgage loan servicers, whether registered or exempt from registration under the law, to service mortgage loans in accordance with the rules and regulations promulgated by the Banking Board or Superintendent. The functions and powers of the Banking Board have since been transferred to the Superintendent of Financial Services, pursuant to Part A of Chapter 62 of the Laws of 2011, Section 89. Of the 67 entities which have been approved for registration or have pending applications and the nearly 400 entities which have indicated that they are exempt from the registration requirements, it is estimated that very few are small businesses.

2. Compliance Requirements:

The provisions of the Mortgage Lending Reform Law relating to mortgage loan servicers has two main components: it requires the registration by the Department of servicers who are not a bank, mortgage banker, mortgage broker or other exempt organizations (the "MLS Registration Regulations") , and it authorizes the Department to promulgate rules and regulations that are necessary and appropriate for the protection of consumers, to define improper or fraudulent business practices, or otherwise appropriate for the effective administration of the provisions of the Mortgage Lending Reform Law relating to mortgage loan servicers (the "Mortgage Loan Servicer Business Conduct Regulations").

The provisions of the Mortgage Lending Reform Law requiring registration of mortgage loan servicers which are not mortgage bankers, mortgage brokers or exempt organizations became effective on July 1, 2009. Part 418 of the Superintendent's Regulations, initially adopted on an emergency basis on July 1 2009, sets for the standards and procedures for applications for registration as a mortgage loan servicer, for approving and denying applications to be registered as a mortgage loan servicer, for approving changes of control, for suspending, terminating or revoking the registration of a mortgage loan servicer as well as the financial responsibility standards for mortgage loan servicers.

Part 419 implements the provisions of the Mortgage Lending Reform Law by setting the standards by which mortgage loan servicers conduct the business of mortgage loan servicing. The rule sets the standards for handling complaints, payments of taxes and insurance, crediting of borrower payments, late payments, account statements, delinquencies and loss mitigation, fees and recordkeeping.

3. Professional Services:

None.

4. Compliance Costs:

The requirements of Part 419 do not impose any direct costs on mortgage loan servicers. Although mortgage loan servicers may incur some additional costs as a result of complying with Part 419, the overwhelming majority of mortgage loan servicers are banks, operating subsidiaries or affiliates of banks, large independent servicers or other financial services entities that service millions, and even billions, of dollars in loans and have the experience, resources and systems to comply with these requirements. Moreover, any additional costs are likely to be mitigated by the fact that many of the requirements of Part 419, including those relating to the handling of residential mortgage delinquencies and loss mitigation (419.11) and quarterly reporting (419.12), are consistent with or substantially similar to standards found in other federal or state laws, federal mortgage modification programs or servicers own protocols.

For example, Fannie Mae and Freddie Mac, which own or insure approximately 90% of the nation's securitized mortgage loans, have similar guidelines governing various aspects of mortgage servicing, including handling of loan delinquencies. In addition, over 100 mortgage loan servicers participate in the federal Making Home Affordable (MHA) program which requires adherence to standards for handling of loan delinquencies and loss mitigation similar to those contained in these regulations. Those servicers not participating in MHA have, for the most part, adopted programs which parallel many components of MHA.

Reporting on loan delinquencies and loss mitigation has likewise become increasingly common. The OCC publishes quarterly reports on credit performance, loss mitigation efforts and foreclosures based on data provided by national banks and thrifts. And, states such as Maryland and North Carolina have adopted similar reporting requirements to those contained in section 419.12.

Many of the other requirements of Part 419 such as those related to handling of taxes, insurance and escrow payments, collection of late fees and charges, crediting of payments derive from federal or state laws and reflect best industry practices. The periodic reporting and bookkeeping and record keeping requirements are also standard among financial services businesses, including mortgage bankers and brokers (see, for example section 410 of the Superintendent's Regulations).

Compliance with the rule should improve the servicing of residential mortgage loans in New York, including the handling of mortgage delinquencies, help prevent unnecessary foreclosures and reduce consumer complaints regarding the servicing of residential mortgage loans.

5. Economic and Technological Feasibility:

For the reasons noted in Section 4 above, the rule should impose no adverse economic or technological burden on mortgage loan servicers that are small businesses.

6. Minimizing Adverse Impacts:

As noted in Section 1 above, most servicers are not small businesses. Many of the requirements contained in the rule derive from federal or state laws, existing servicer guidelines utilized by Fannie Mae and Freddie Mac and best industry practices.

Moreover, the ability by the Department to regulate mortgage loan servicers is expected to reduce costs associated with responding to consumers' complaints, decrease unnecessary expenses borne by mortgagors, help borrowers at risk of foreclosure and decrease the number of foreclosures in this state.

7. Small Business and Local Government Participation:

The Department distributed a draft of proposed Part 419 to industry representatives, received industry comments on the proposed rule and met with industry representatives in person. The Department likewise distributed a draft of proposed Part 419 to consumer groups, received their comments on the proposed rule and met with consumer representatives to discuss the proposed rule in person. The rule reflects the input received from both industry and consumer groups.

Rural Area Flexibility Analysis

Types and Estimated Numbers. Since the adoption of the Mortgage Lending Reform Law of 2008 (Ch. 472, Laws of 2008, hereinafter, the "Mortgage Lending Reform Law"), which required mortgage loan servicers to be registered with the Department unless exempted under the law, 67 entities have pending applications or have been approved for registration and nearly 400 entities have indicated that they are a mortgage banker, broker, bank or other organization exempt from the registration requirements. Only one of the non-exempt entities applying for registration is located in New York and operating in a rural area. Of the exempt organizations, all of which are required to comply with the conduct of business contained in Part 419, approximately 400 are located in New York, including several in rural areas. However, the overwhelming majority of exempt organizations, regardless of where located, are banks or credit unions that are already regulated and are thus familiar with complying with the types of requirements contained in this regulation.

Compliance Requirements. The provisions of the Mortgage Lending Reform Law relating to mortgage loan servicers has two main components: it requires the registration by the Department of servicers that are not a bank, mortgage banker, mortgage broker or other exempt organization (the "MLS Registration Regulations") , and it authorizes the Department to promulgate rules and regulations that are necessary and appropriate for the protection of consumers, to define improper or fraudulent business practices, or otherwise appropriate for the effective administration of the provisions of the Mortgage Lending Reform Law relating to mortgage loan servicers (the "MLS Business Conduct Regulations").

The provisions of the Mortgage Lending Reform Law of 2008 requiring registration of mortgage loan servicers which are not mortgage bankers, mortgage brokers or exempt organizations became effective on July 1, 2009. Part 418 of the Superintendent's Regulations, initially adopted on an emergency basis on July 1, 2010, sets forth the standards and procedures for applications for registration as a mortgage loan servicer, for approving and denying applications to be registered as a mortgage loan servicer, for approving changes of control, for suspending, terminating or revoking the registration of a mortgage loan servicer as well as the financial responsibility standards for mortgage loan servicers.

Part 419 implements the provisions of the Mortgage Lending Reform Law of 2008 by setting the standards by which mortgage loan servicers conduct the business of mortgage loan servicing. The rule sets the standards for handling complaints, payments of taxes and insurance, crediting borrower payments, late payments, account statements, delinquencies and loss mitigation and fees. This part also imposes certain recordkeeping and reporting requirements in order to enable the Superintendent to monitor services' conduct and prohibits certain practices such as engaging in deceptive business practices.

Costs. The requirements of Part 419 do not impose any direct costs on mortgage loan servicers. The periodic reporting requirements of Part 419 are consistent with those imposed on other regulated entities. In addition, many of the other requirements of Part 419, such as those related to the handling of loan delinquencies, taxes, insurance and escrow payments, collection of late fees and charges and crediting of payments, derive from federal or state laws, current federal loan modification programs, servicing guidelines utilized by Fannie Mae and Freddie Mac or servicers' own protocols. Although mortgage loan servicers may incur some additional costs as a result of complying with Part 419, the overwhelming majority of mortgage loan servicers are banks, credit unions, operating subsidiaries or affiliates of banks, large independent servicers or other financial services entities that service millions, and even billions, of dollars in loans and have the experience, resources and systems to comply with these requirements. Of the 67 entities that have been approved for registration or that have pending applications, only one is located in a rural area of New York State. Of the few exempt organizations located in rural areas of New York, virtually all are banks or credit unions. Moreover, compliance with the rule should improve the servicing of residential mortgage loans in New York, including the handling of mortgage delinquencies, help prevent unnecessary foreclosures and reduce consumer complaints regarding the servicing of residential mortgage loans.

Minimizing Adverse Impacts. As noted in the "Costs" section above, while mortgage loan servicers may incur some higher costs as a result of complying with the rules, the Department does not believe that the rule will impose any meaningful adverse economic impact upon private or public entities in rural areas.

In addition, it should be noted that Part 418, which establishes the application and financial requirements for mortgage loan servicers, authorizes the Superintendent to reduce or waive the otherwise applicable financial responsibility requirements in the case of mortgage loans servicers that service not more than 12 mortgage loans or more than $5,000,000 in aggregate mortgage loans in New York and which do not collect tax or insurance payments. The Superintendent is also authorized to reduce or waive the financial responsibility requirements in other cases for good cause. The Department believes that this will ameliorate any burden on mortgage loan servicers operating in rural areas.

Rural Area Participation. The Department issued a draft of Part 419 in December 2009 and held meetings with and received comments from industry and consumer groups following the release of the draft rule. The Department also maintains continuous contact with large segments of the servicing industry though its regulation of mortgage bankers and brokers and its work in the area of foreclosure prevention. The Department likewise maintains close contact with a variety of consumer groups through its community outreach programs and foreclosure mitigation programs. The Department has utilized this knowledge base in drafting the regulation.

Job Impact Statement

Article 12-D of the Banking Law, as amended by the Mortgage Lending Reform Law (Ch. 472, Laws of 2008), requires persons and entities which engage in the business of servicing mortgage loans after July 1, 2009 to be registered with the Superintendent. Part 418 of the Superintendent's Regulations, initially adopted on an emergency basis on July 1, 2009, sets forth the application, exemption and approval procedures for registration as a mortgage loan servicer, as well as financial responsibility requirements for applicants, registrants and exempted persons.

Part 419 addresses the business practices of mortgage loan servicers in connection with their servicing of residential mortgage loans. Thus, this part addresses the obligations of mortgage loan servicers in their communications, transactions and general dealings with borrowers, including the handling of consumer complaints and inquiries, handling of escrow payments, crediting of payments, charging of fees, loss mitigation procedures and provision of payment histories and payoff statements. This part also imposes certain recordkeeping and reporting requirements in order to enable the Superintendent to monitor services' conduct and prohibits certain practices such as engaging in deceptive business practices.

Compliance with Part 419 is not expected to have a significant adverse effect on jobs or employment activities within the mortgage loan servicing industry. The vast majority of mortgage loan servicers are sophisticated financial entities that service millions, if not billions, of dollars in loans and have the experience, resources and systems to comply with the requirements of the rule. Moreover, many of the requirements of the rule reflect derive from federal or state laws and reflect existing best industry practices.

Department of Health

NOTICE OF ADOPTION

Hospice Operational Rules

I.D. No. HLT-06-16-00005-A

Filing No. 778

Filing Date: 2016-08-10

Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Parts 700, 717, 793 and 794 of Title 10 NYCRR.

Statutory authority: Public Health Law, section 4010(4)

Subject: Hospice Operational Rules.

Purpose: To implement hospice expansion.

Substance of final rule: This rule amends sections 700.2 and Parts 717 and repeals and replaces Part 793 and 794 of Title 10 (Health) of NYCRR, the operational rules for hospices approved to provide services in New York State under Article 40 of the Public Health Law. The changes will make state regulations consistent with the federal conditions of participation/rules, which were revised and implemented on December 3, 2008, as well as consistent with Article 40 of Public Health Law.

Section 700.2(a)(27) (Definitions) is amended to increase the maximum bed capacity from 8 to 16 beds in a hospice residence.

Section 700.2(c)(55) (Definitions) is amended to define hospice patient as a person certified as being terminally ill, who, alone or in conjunction with designated family member(s), has voluntarily requested admission and been accepted into a hospice for which the Department has issued a certificate of approval; and clarifies that nothing provided herein shall be construed to require provision of services to a patient that are not covered by the patient's payment source.

Section 700.2(c)(58) (Definitions) is amended to clarify that palliative and supportive care is provided to a hospice patient for the reduction and abatement of pain and other symptoms and stresses associated with terminal illness and dying. This terminology (palliative and supportive care) is used in the definition of hospice found in 700.2(a)(23).

Section 700.2(c)(60) (Definitions) is added to include the definition of palliative care, as defined in Public Health Law section 4012-b, provided to a person with advanced, life limiting illness.

Section 717.2 (Construction standards) is amended to increase the maximum bed capacity from 8 to 16 beds in a free standing hospice residence.

Section 717.3 (Patient and service areas in hospice inpatient facilities and units) is amended to reduce maximum room capacity from four to two patients as required by new federal rules.

Section 717.4 (Functional areas in hospice residences) is amended to allow a hospice to operate a maximum of twenty five percent of total residence beds as dually certified beds at any given time.

Section 793.1 (Governing authority) is repealed and replaced with a new section, entitled Patient Rights, which sets forth patient rights for hospice patients and requires alleged violations of mistreatment, neglect or abuse to be investigated and reported to the State, if verified.

Section 793.2 (Contracts) is repealed and replaced with a new section, entitled Eligibility, Election, Admission and Discharge, which sets forth provisions for determining eligibility for and admitting persons into a hospice program as well as requirements for discharging a hospice patient.

Section 793.3 (Administration) is repealed and replaced with a new section, entitled Initial and Comprehensive Assessment, which requires hospices to complete initial and comprehensive assessments and reassessments within specified time periods and identifies the information required in such assessments.

Section 793.4 (Staff Services) is repealed and replaced with a new section, entitled Patient Plan of Care, Interdisciplinary Group and Coordination of Care, which defines the interdisciplinary group members responsible for management of hospice care, identifies the responsibilities of the group, and lists the information required in the hospice plan of care.

Section 793.5 (Personnel) is repealed and replaced with a new section, entitled Quality Assessment and Performance Improvement, which sets forth requirements for the hospice quality assessment and performance improvement program. Hospices will be required to track performance indicators and conduct performance improvement projects.

Section 793.6 (Patient referral, admission and discharge) is repealed and replaced with a new section, entitled Infection Control, which sets forth requirements for management of an infection control program including policies and procedures for preventing and managing persons exposed to blood-borne pathogens and appropriate training of staff.

Section 793.7 (Records and reports) is repealed and replaced with a new section, entitled Staff and Services, which identifies the types of personnel a hospice is expected to employ and their responsibilities. This section also clarifies employment options (direct or contract), qualifications and supervision requirements strengthening the onsite supervision home health aide requirement.

Section 793.8 is repealed.

Section 794.1 (Patient/family rights) is repealed and replaced with a new section, entitled Governing Authority, which lists the responsibilities of the governing authority. It also sets forth requirements for a patient complaint investigation process and emergency plan. This section also requires hospices to obtain and maintain a Health Commerce System account as a communication link with the Department of Health.

Section 794.2 (Patient/family plan of care) is repealed and replaced with a new section, entitled Contracts, which sets forth contract requirements between the hospice and individual, facility or agency providers delivering services on behalf of the hospice. This section also specifies requirements for management contracts and explains those responsibilities that may not be delegated by the governing body.

Section 794.3 (Medical records systems and charts) is repealed and replaced with a new section, entitled Personnel, which sets forth personnel requirements including health requirements, identification and reference checks, maintenance and content of personnel records, job descriptions and orientation, performance appraisal and inservice education.

Section 794.4 (Hospice inpatient and residence services) is repealed and replaced with a new section, entitled Clinical Record, which sets forth requirements for maintenance and content of clinical records. Record retention standards are also included in this section.

Section 794.5 (Short Term Inpatient Service) is added and sets forth structural and operational standards for the provision of short-term inpatient service by the hospice. Physical plant, staffing, quality of life and patient comfort measures are addressed. This section also sets forth operational requirement for management and coordination of care.

Section 794.6 (Hospice Residence Service) is added and sets forth requirements for hospice residences, for those situations when a hospice chooses to offer a hospice operated home to a hospice patient without a suitable home in which to receive services, and increases maximum bed capacity from 8 to 16 beds.

Section 794.7 (Leases) is added and sets forth information which must be included in a lease agreement between a hospice and an inpatient setting or hospice residence.

Section 794.8 (Hospice Care Provided to Residents of a Skilled Nursing Facility (SNF) or Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID)) is added and identifies responsibilities of the hospice and the facility when a resident elects the hospice benefit. Services expected to be provided by the hospice and the facility are clarified, and development and implementation of collaborative plans of care and care coordination between the two entities is required.

Section 794.9 (Records and Reports) is added and identifies those records which must be maintained by the hospice, and the retention timeframes. This section also specifies reports which must be submitted to the Department of Health.

Final rule as compared with last published rule: Nonsubstantive changes were made in sections 717.2, 793.1(a) and 793.2.

Text of rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of House Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqna@health.ny.gov

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Changes made to the last published rule do not necessitate revision to the previously published Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement.

Assessment of Public Comment

The Department received two comments during the public comment period. The comments were received from: Hospice & Palliative Care Association of New York State (HPCANYS) and the State & Local Government Relations of the International Code Council (The Council).

Construction Standards - Section 717.2

COMMENT: The Council commented that The New York State, Department of State recently issued updates on the NYS Uniform Code which included updates to the Uniform Fire Prevention and Building Code (Uniform Code). A notice of adoption for the Uniform Code was published in the April 6, 2016 edition of the State Register and the newly adopted Uniform Code will become fully effective on October 3, 2016. The Uniform Code is enforced by every jurisdiction in the State of New York, (except the City of New York). The commenter recommended adding a reference to the Uniform Fire Prevention and Building Code to § 717.2 Construction Standards.

RESPONSE: Centers for Medicare and Medicaid Services (CMS) requires NFPA 101, Life Safety Code as minimal requirements for hospice inpatient facilities. NFPA 101, Life Safety Code requirements do not apply in a State if CMS finds that a fire and safety code imposed by State Law adequately protects patients in hospices. Language was added: "NFPA 101, Life Safety Code, pursuant to section 711.2 of this Title" to clarify that New York State is currently requiring compliance with NFPA 101, Life Safety Code 2000 edition to comply with the State's technical standards for all health facilities, including hospice units and facilities.

HPCANYS fully supports the proposed regulatory changes with the following two exceptions:

Functional areas in hospice residences - Section 717.4

COMMENT: The Department received a comment proposing that the regulations allow for up to 100% (instead of 25%) of beds in a hospice residence to be dually certified, provided that such dually certified beds have been built to inpatient level of care construction standards, and that the number of dually certified beds does not exceed the number allowed under the needs methodology formula.

RESPONSE: This comment was not incorporated as regulatory language. Public Health Law § 4002 (2-b) states the following: "Hospice residence" means a hospice operated home which is residential in character and physical structure and operated for the purpose of providing more than two hospice patients but not more than sixteen hospice patients with hospice care, which may include dually certified hospice in-patient beds up to twenty-five percent of the hospice residence's patient capacity."

Initial and Comprehensive Assessment - Section 793.3

COMMENT: The Department received a request for clarification as to whether, if the comprehensive assessment is completed within 48 hours, it will satisfy the requirements for both the initial assessment and the comprehensive assessment. The request is deemed important by the commenter especially in a growing managed care environment where such ambiguous provisions could create unintended consequences, delays in the provision of care and numerous reimbursement problems.

RESPONSE: This comment was not incorporated as regulatory language. The regulatory language is consistent with federal regulatory language and with the federal interpretive guidance to surveyors for purposes of surveillance activities. Hospices may choose to complete the comprehensive assessment earlier than five days after the effective date of election (e.g. it may complete the comprehensive assessment at the same time the initial assessment is completed). The purpose, content and person conducting the initial and comprehensive assessments are distinct and different. The comprehensive assessment is not intended to replace the initial assessment if performed earlier than the required five days.

NOTICE OF ADOPTION

Transgender Related Care and Services

I.D. No. HLT-19-16-00008-A

Filing No. 792

Filing Date: 2016-08-16

Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 505.2(l) of Title 18 NYCRR.

Statutory authority: Public Health Law, sections 201 and 206; Social Services Law, sections 363-a and 365-a(2)

Subject: Transgender Related Care and Services.

Purpose: To revise and clarify the criteria for Medicaid coverage of transgender related care and services.

Text or summary was published in the May 11, 2016 issue of the Register, I.D. No. HLT-19-16-00008-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of House Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqna@health.ny.gov

Assessment of Public Comment

The proposed amendments would revise the Department's existing regulations at 18 NYCRR § 505.2(l) pertaining to Medicaid coverage of transgender related care and services. Section 505.2(l)(5) of the proposed regulation lists certain surgery, services, and procedures presumed to be cosmetic (i.e. performed solely for the purpose of improving appearance); coverage of these services would be available if prior approval is received based on a finding of medical necessity. Seven comments were received: two from lawyers or legal organizations; one from a health center; and four from individuals, one of whom is transgender.

Comment: Some commenters took the position that all gender affirming services for individuals with gender dysphoria (GD) constitute medically necessary treatment.

Response: The Department disagrees, and contends that individuals with GD, like anyone else, may in some instances desire to change their appearance for purely cosmetic reasons, and not for the purpose of treating their GD. For example, an individual with GD who has received medically necessary treatment and has successfully transitioned to the opposite gender, may nevertheless wish to undergo additional procedures, not because it is necessary to address the symptoms of their GD, but simply to enhance their appearance. The Medicaid program is limited to paying for medically necessary care, and thus cannot pay for procedures whose purpose is not medical but cosmetic. No changes were made to the proposed regulation as a result of this comment.

Comment: Some commenters contended that the proposed amendment imposes a stricter standard for obtaining prior approval of the procedures listed in § 505.2(l)(5) to treat GD than is applied to the same procedures when used to treat other conditions or diagnoses. As support for this contention, they pointed to: the proposed regulatory presumption that these services are cosmetic; and the fact that the regulation defines cosmetic procedures as those "performed solely for the purpose of improving an individual's appearance", while in other contexts cosmetic procedures are described as those "provided only because of the enrollee's personal preference".

Response: As always, it is the Department's intent only to ensure that Medicaid pays for medically necessary care, services, and supplies. No change was made to the proposed regulation as a result of this comment, but the Department will take it under advisement, and will consider whether the presumption language should be eliminated or modified in a subsequent rulemaking, in order to dispel any misconception that the Department is setting a stricter standard for coverage of these procedures in the context of transgender care.

Comment: Some commenters urged the Department to eliminate what they referred to as the list of "exclusions" in the regulation.

Response: The services listed in § 505.2(l)(5) are not excluded from coverage. They will be covered if medically necessary and prior approval is received. Nevertheless, the Department will consider whether specifying in the regulation procedures that are subject to prior approval is contributing to the misconception that a stricter standard is being set for coverage of these procedures in the context of transgender care. If the Department decides to omit the list from the regulation, it will do so in a subsequent rulemaking.

Comment: A number of comments addressed topics outside of the scope of the proposed amendments, including the current limitation on coverage of hormone therapy and gender reassignment surgery (GRS) to individuals 18 years of age or older, and the types of practitioners who can provide referral letters for GRS.

Response: Because these comments do not pertain to the amendments proposed in the current rulemaking, no changes were made in response to these comments. However, the Department is considering these comments outside the context of the current rulemaking, and if the Department determines policy changes are advisable, it will address them in a separate rulemaking.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

All Payer Database (APD)

I.D. No. HLT-35-16-00018-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Addition of Part 350 of Title 10 NYCRR.

Statutory authority: Public Health Law, sections 206(18-a)(d) and 2816

Subject: All Payer Database (APD).

Purpose: To define the parameters for operating the APD regarding mandatory data submission by healthcare payers as well as data release.

Text of proposed rule:

A new Part 350 is added to read as follows:

Part 350

All Payer Database (APD)

§ 350.1 Definitions. For the purposes of this Part, these terms shall have the following meanings:

(a) "All Payer Database" or "APD" means the health care database maintained by the Department or its contractor that contains APD data.

(b) "APD data" means covered person data, claims data, and any other such data contained within standard transactions for Electronic Data Interchange (EDI) of health care data adopted by the Accredited Standards Committee (ASC) X12 standards organization, the National Council for Prescription Drug Programs (NCPDP) standards organization, or any other organizations designated by the federal Department and Human Services to develop and maintain standard transactions for EDI of health care data, as provided in section 1320d-2 of Title 42 of the United States Code (USC) or any other federal law.

(c) "claims data" means:

(1) Benefits and coverage data – data specifying the benefits and coverage available to a covered person, such as cost-sharing provisions and coverage limitations and exceptions;

(2) Health care provider network data – data related to the health care provider and service networks associated with third-party health care payer plans and products, such as the services offered, panel size, licensing/certification, National Provider Identifier(s), demographics, locations, accessibility, office hours, languages spoken, and contact information;

(3) Post-adjudicated claims data – data related to health care claims that has been adjudicated by a third-party health care payer, such as the data included in the ASC X12 Post Adjudicated Claims Data Reporting and the NCPDP Post Adjudication Standard transactions; and

(4) Other health care payment data, such as value based payment information, as determined by the Department.

(d) "covered person" means a person covered under a third-party health care payer contract, agreement, or arrangement that is licensed to operate in New York State by the New York State Department of Financial Services.

(e) "covered person data" means data related to covered persons, such as demographics, member identifiers, coverage periods, policy numbers, plan identifiers, premium amounts, and selected primary care providers.

(f) "data user" means any individual or organization that the Department has granted access to APD data, with or without identifying data elements.

(g) "health care provider" means a provider of "medical and other health services" as defined in 42 USC § 1395x(s), a "provider of services" as defined in 42 USC § 1395x(u), and any other person or organization who furnishes, bills, or is paid for health care in the normal course of business. This includes a clinical laboratory, a pharmacy, an entity that is an integrated organization of health care providers, and an accountable care organization described in 42 USC § 1395jjj. The term also includes atypical providers that furnish nontraditional services that are indirectly health care-related, such as personal care, taxi, home and vehicle modifications, habilitation, and respite services.

(h) "identifying data elements" means those APD data elements that, if disclosed without restrictions on use or re-disclosure, would constitute an unwarranted invasion of personal privacy consistent with federal and state standards for de-identification of protected health information.

(i) "New York State agency" means any New York State department, board, bureau, division, commission, committee, public authority, public benefit corporation, council, office, or other governmental entity performing a governmental or proprietary function for the State of New York.

(j) "submission specifications" means specifications determined by the Department for submitting covered person data and claims data to the APD, such as the data fields, circumstances, format, time, and method of reporting.

(k) "third-party health care payer" means an insurer, organization, or corporation licensed or certified pursuant to article thirty-two, forty-three, or forty-seven of the Insurance Law or article forty-four of the Public Health Law; or an entity, such as a pharmacy benefits manager, fiscal administrator, or administrative services provider that participates in the administration of a third-party health care payer system, including any

health plan under 42 USC § 1320d. The term does not include self-insured health plans, although such plans that operate in New York State may choose to participate as a third-party health care payer.

§ 350.2 APD data submission.

(a) Third-party health care payers shall submit complete, accurate, and timely APD data to the Department, pursuant to the submission specifications.

(b) The Department shall consult with the Department of Financial Services and third-party health care payers before issuing any submission specifications.

(c) The Department shall set a compliance date of at least 90 days from the date that new or revised submission specifications are issued.

(d) Third-party health care payers shall submit APD data in an electronic, computer-readable format through a secure electronic network of the Department or its designated administrator on a monthly basis, or more frequently, as specified in the submission specifications.

(e) Third-party health care payers shall submit at least 95 percent of APD data within 60 days from the end of the month of the adjudicated claims being submitted for payment.

(f) Third-party health care payers shall submit 100 percent of APD data within 180 days from the end of the month of the adjudicated claims being submitted for payment.

(g) The Department may audit APD data submitted by third-party health care payers to evaluate the quality, timeliness, and completeness of the data. The Department may issue an audit report or statement of deficiencies listing any inadequacies or inconsistencies in the APD data submitted and requiring corrective actions. Any third-party health care payer that receives an audit report or statement of deficiencies shall submit a plan of correction to the Department within 30 days from the date of receipt of the audit report or statement of deficiencies. Third-party heath care payers shall be in full compliance with APD data submission specifications and the plan of correction within 90 days from the date of submission of the plan of correction.

(h) A third-party health care payer may submit a written request to the Department for an extension, variance, or waiver of APD data submission specifications requirements. The written request shall include: the specific requirement to be extended, varied, or waived; an explanation of the reason or cause; the methodology proposed to eliminate the need for future extension, variance, or waiver; and the time frame required to come into compliance.

(i) Any third-party health care payer that violates this section shall be liable pursuant to the provisions of the Public Health Law, including, but not limited to, sections 12 and 12-d of the Public Health Law, and applicable sections of New York State Insurance Law and regulations.

§ 350.3 APD data release.

(a) The Department shall implement quality control and validation processes to provide reasonable assurance that APD data released to the public is complete, accurate, and valid. The Department shall adhere to applicable State and federal laws, regulations, and policies on release of Medicare and Medicaid data.

(b) Upon reasonable assurance that subdivision (a) has been satisfied, the Department may release data in the following manner:

(1) De-identified and/or aggregated APD data of a public use nature may be posted publicly to a consumer facing website.

(2) APD data, including data with identifying data elements, may be released to a New York State agency or the federal government in a manner that appropriately safeguards the privacy, confidentiality, and security of the data.

(3) APD data, including data with identifying data elements, may be released to other data users that have met the Department's requirements for maintaining security, privacy, and confidentiality and have approved data use agreements with the Department.

(c) Data users shall adhere to security, confidentiality, and privacy guidelines established by the Department to prevent breaches or unauthorized disclosures of personal information resulting from any data analysis or re-disclosure. Data users bear full responsibility for breaches or unauthorized disclosures of personal information resulting from use of APD data.

(d)(1) Where the Department grants data users access to APD data that does not include identifying data elements, such access shall be subject to terms and conditions established by the Department.

(2) Data users who wish to request APD data that includes identifying data elements shall submit an application for a proposed project in a form established by the Department, which shall include an explicit plan for preventing breaches or unauthorized disclosures of identifying data elements of any individual who is a subject of the information. The Department's review of the proposed project shall include, but not be limited to: (i) use of the specific identifying data elements; (ii) adherence to the Department's guidance on the appropriate and controlled release of data; and (iii) assurance on whether the release of identifying data elements reflects overall goals of confidentiality, privacy, security, and benefits to public and population health.

(e) Any data user that violates this section or any data use agreement executed under this section shall be liable pursuant to the provisions of the Public Health Law, including, but not limited to, sections 12 and 12 d of the Public Health Law.

(f) The Department may charge reasonable fees for access to APD data, which shall be based upon estimated costs incurred and recurring for data processing, operation of the platform/data center, and software. The Department shall establish a policy describing any APD data that shall be available at no charge, the fees for access to APD data subject to charge, the process for fee payment, and under what circumstances fees may be reduced or waived.

§ 350.4 APD advisory group.

(a) The Department may establish an advisory group to provide recommendations on any or all of the following areas: submission specifications, patient privacy and confidentiality, data release, data aggregation, and security.

(b) The Department may accept, reject, or amend recommendations, in whole or in part, from the advisory group.

§ 350.5 APD guidance.

The Department shall make guidance available on its website that includes:

(a) APD submissions specifications, including the data standards used and the method for reporting to the Department. Submission specifications shall be developed with a goal of minimizing burden on health care providers and third-party health care payers, including utilization of nationally standardized file formats where available and feasible.

(b) APD data access and release policy, including security and usage requirements to become a data user; requirements for maintaining privacy, confidentiality, and security; and data release fee information. Data access and release requirements shall include restrictions on the release of any information that could be used, alone or in combination with other reasonably available information, to identify an individual who is a subject of the information, as well as procedures for request of identifying data elements, including the project application process established pursuant to subdivision (d) of section 350.3 of this Part.

(c) Program operations policy, including program purpose, scope and objectives, and general governance.

Text of proposed rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of House Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqna@health.ny.gov

Data, views or arguments may be submitted to: Same as above.

Public comment will be received until: 45 days after publication of this notice.

This rule was not under consideration at the time this agency submitted its Regulatory Agenda for publication in the Register.

Regulatory Impact Statement

Statutory Authority:

Public Health Law (PHL) § 2816 establishes the Statewide Planning and Research Cooperative System (SPARCS), which authorizes the New York State Department of Health to collect certain data relating to health care delivery in New York State. In particular, the statute authorizes the Department to collect data relating to insurance claims by persons covered by third-party insurers (hereinafter referred to as "payers"). The statute further provides: "Any component or components of the system may be operated under a different name or names, and may be structured as separate systems."

Accordingly, PHL § 2816 authorizes NYSDOH to collect covered person data and claims data in its All Payer Database (APD). Additionally, under PHL § 206(18-a)(d), the Commissioner of Health has the authority to "make such rules and regulations" on statewide health information systems, such as the APD, as recommended by the Health Information Technology Workgroup established pursuant to PHL § 206(18-a)(b)(ii).

Legislative Objectives:

In 2011, PHL § 2816 was amended specifically to authorize NYSDOH to develop and implement an All Payer Database for New York State. The Legislature further authorized NYSDOH to develop regulations establishing the necessary parameters, guidance, and requirements for a functional APD. These regulations are critical to the successful collection and use of covered person data and claims data from commercial health care payers, which have previously not been done in New York State.

Needs and Benefits:

Currently, New York State has fragmented, inconsistent, and incomplete information about how the state's health care system is performing. With an array of state agencies and offices carrying out health care planning, along with a myriad of private efforts, data currently collected are specific to the goals of the distinct organization and sub-populations served.

This approach is administratively inefficient and costly, as it requires the redundant collection, cleansing, and storage of duplicative information. The lack of linkages and interoperability of data assets hinders the ability of health care and policy experts to fully assess issues, such as the impact of disease burden and treatment trends, the ability to inform policy on innovative payment and care coordination models, and other targeted interventions.

Advancing health care transformation in New York State requires a broad view of population health and system performance, which current data resources do not permit. States that currently have All Payer Claims Databases (APCDs) have proven that they are important tools for filling gaps in health care information. By streamlining health care system data processing, an APD will enable policymakers to monitor efforts to reduce health care costs and improve population health.

The APD will provide a robust dataset that will support a variety of comparative analyses. Further, the APD will transform New York State's health care system by evaluating care delivery and payment models, and identifying opportunities to avoid waste, over/under utilization, misuse of treatments, and conflicting plans of care.

The APD will also yield findings that can be used to inform health care and finance decisions for policy makers, payers, providers, and consumers. For example, the APD will facilitate assessments of health care resource needs. APD data can also be used to effectively plan for and improve disease prevention, and to help ensure effective diagnosis, treatment, and rehabilitation services. APD data will allow the State to establish policies for risk adjustment, including mandatory risk adjustment calculations under the Federal Patient Protection and Affordable Care Act. In addition, the APD will enhance and expedite the ability of health payers and regulators to prescribe and determine appropriateness of premium rates.

Costs:

Costs to Regulated Parties:

Many health care insurance payers are already required to submit claims and records of care encounters to New York State. These include payers that have plans included in Medicaid Managed Care and in the New York State of Health Official Health Plan Marketplace (NYSoH), both of which require data submission as part of contractual agreements to participate in their respective programs. In addition, many payers voluntarily participate with private regional claims database initiatives, or submit data to other state APCDs.

Many of these public insurance program participants are also payers of commercial insurance plans, which lack access to claims history, and which have no other mechanisms to mandate data submission. As a result, many of the payers participate in both public and private programs that involve some form of data submission.

For this reason, much of the staffing and information technology (IT) infrastructure required for mandatory participation in New York State's APD is already in place. There may be some initial increased implementation costs for payers who only participate in the private commercial market. Payers that currently report data in a proprietary format may also be exposed to costs associated with transitioning to a national standardized reporting format. However, because so much of the IT infrastructure is already in place, it is anticipated that regulated parties' long term costs associated with a fully functional APD will be minimal.

Costs to the NYSDOH:

As referenced in the prior section, many health care insurance payers are already required to submit claims and records of care encounters to New York State. While there is some infrastructure currently in place within NYSDOH, there is still a NYSDOH cost for the design, development, and implementation of infrastructure to operate the APD.

Costs include major system components of data intake, data warehousing, and data analytics, with a current estimate of $55 million for a three and a half-year development period. Following this development, the annual recurring operating costs for the system is estimated to be $20 million, inclusive of annual recurring NYSDOH staff costs of approximately $2 million. Total costs are covered by a combination of State appropriations, federal matching Medicaid and Child Health Plus funds, and federal Health Benefit Exchange grants.

Other systems in the NYSDOH, and the expenditures required to maintain them, will be partially reduced as the APD will assume some of the functions associated with them.

Costs to State and Local Governments:

There are no anticipated costs to local governments, as the APD will be fully developed and administered at the State level. There are minimal costs that may be incurred by the NYS Department of Financial Services to utilize the data and tools of the APD in the regulation of the commercial health insurance industry. These are not expected to be significant, however, and will be offset by the utility achieved through analysis of health insurance claims data.

Local Government Mandates:

The All Payer Database will be administered at the New York State level. This rule imposes no mandates upon any county, city, town, village, school district, fire district, or other special district.

Paperwork:

Payers will be required to submit registration forms and paperwork to NYSDOH or its designated administrator in order to submit claims data with protected information to the State. This paperwork is only required for initial registration with the APD, and subsequent communication is handled electronically. For this reason, the reporting requirements, forms, or other paperwork upon regulated parties are not expected to be a significant burden.

Duplication:

There are no relevant rules or other legal requirements of the federal or State governments that duplicate, overlap, or conflict with this rule.

Alternatives:

There are no alternatives that could serve as a substitute for the All Payer Database. Although New York State currently collects Medicaid and NYSoH data, the collection of commercial claims data is unprecedented. The APD is a significant new initiative that will allow for a comprehensive and valuable analysis of the health care system in New York State.

Federal Standards:

The rule does not exceed any minimum standards of the federal government for the same or similar subject area as the federal government does not operate an All Payer Database.

Compliance Schedule:

Development of the APD data intake component is being executed in a phased manner. The first phase included NYSoH Qualified Health Plans, and data collection began in January 2015. The second phase encompasses Medicaid and Child Health Plus Managed Care Plans, which went into production September 2015.

The third phase addresses commercial health insurance payers and the design and development process has already begun. This information is critical to the success of the APD. It is expected that production will begin for commercial payers in late 2016, with substantial attention to testing and user support to ensure all payers have the necessary tools to successfully participate.

Regulatory Flexibility Analysis

No regulatory flexibility analysis is required pursuant to section 202-b(3)(a) of the State Administrative Procedure Act. The proposed amendment does not impose an adverse economic impact on small businesses or local governments and it does not impose reporting, recordkeeping, or other compliance requirements on small businesses or local governments.

Rural Area Flexibility Analysis

A Rural Area Flexibility Analysis for these amendments is not being submitted because amendments will not impose any adverse impact or significant reporting, recordkeeping, or other compliance requirements on public or private entities in rural areas. There are no professional services, capital, or other compliance costs imposed on public or private entities in rural areas as a result of the proposed amendments.

Job Impact Statement

Nature of Impact:

The rule will have minimal impact on jobs and employment opportunities. The regulated payers are largely established. In many cases, they are national health insurance companies that have an existing and deep data reporting infrastructure per the nature of the industry.

Many payers already report certain claims data to NYS and, with the APD, will now be required to send a higher volume. There may be some increase in hiring and jobs to ensure compliance with APD requirements; however, this impact is not expected to be significant. Much of the infrastructure already exists and many payers already submit data to public health insurance programs, regional voluntary databases, and other state APCDs. There will be some impact on employment in the IT contracting field as there will be contracts with NYSDOH to design, develop, implement, and operate the APD at the state level, as well as potential IT development work with some of the payers. There are no anticipated job impacts in any other segments or sectors of the job market. With regard to adverse employment effects, there is no expectation of job losses as a result of the rule.

Categories and Numbers Affected:

The types of jobs impacted by the rule are in the areas of IT and data analysis. The number of expected job additions is not specifically known but is expected to be minimal as payers have much of the existing resources needed to comply with data submission requirements. Most new work on the part of payers will be in the initial stages of implementation. Payers that do not currently submit data to NYS will need to establish processes and set up IT systems to submit claims data.

Certain payers will have some level of system modification to comply with national standards and submission specifications. Some payers will utilize contract vendors for these activities who may already be familiar with the required transaction and buildout processes. IT contractors at the state level will see a short term increase for the design, development, and implementation of the system build, but ongoing operations support will rely on less staffing.

Regions of Adverse Impact:

There is no expectation of adverse impact on jobs in any region of NYS as a result of the rule.

Minimizing Adverse Impact:

There is no expectation of adverse impact on jobs in any region of NYS as a result of the rule.

Self-Employment Opportunities:

There is no expectation of any self-employment opportunities.

Higher Education Services Corporation

EMERGENCY RULE MAKING

New York State Masters-in-Education Teacher Incentive Scholarship Program

I.D. No. ESC-35-16-00002-E

Filing No. 779

Filing Date: 2016-08-11

Effective Date: 2016-08-11

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of section 2201.17 to Title 8 NYCRR.

Statutory authority: Education Law, sections 653, 655 and 669-f

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: This statement is being submitted pursuant to subdivision (6) of section 202 of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's ("HESC") Emergency Rule Making seeking to add a new section 2201.17 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

This regulation implements a statutory student financial aid program providing for awards to be made to students beginning with the fall 2016 term, which generally starts in August. Emergency adoption is necessary to avoid an adverse impact on the processing of awards to eligible scholarship applicants. The statute provides for tuition benefits to college-going students attending a New York State public institution of higher education who pursue a graduate program of study in an education program leading to a career as a teacher in public elementary or secondary education. Decisions on applications for this Program are made prior to the beginning of the term. Therefore, it is critical that the terms of the program as provided in the regulation be effective immediately so that students can make informed choices and in order for HESC to process scholarship applications in a timely manner. To accomplish this mandate, the statute further provides for HESC to promulgate emergency regulations to implement the program. For these reasons, compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

Subject: New York State Masters-in-Education Teacher Incentive Scholarship Program.

Purpose: To implement the New York State Masters-in-Education Teacher Incentive Scholarship Program.

Text of emergency rule: New section 2201.17 is added to Title 8 of the New York Code, Rules and Regulations to read as follows:

Section 2201.17 New York State Masters-in-Education Teacher Incentive Scholarship Program.

(a) Definitions. As used in section 669-f of the Education Law and this section, the following terms shall have the following meanings:

(1) "Academic excellence" shall mean the attainment of a cumulative grade point average of 3.5 or higher upon completion of an undergraduate program of study from a college or university located within New York State.

(2) "Approved master's degree in education program" shall mean a program registered at a New York State public institution of higher education pursuant to Part 52 of the Regulations of the Commissioner of Education.

(3) "Award" shall mean a New York State Masters-in-Education Teacher Incentive Scholarship Program award pursuant to section 669-f of the New York State education law.

(4) "Elementary and secondary education" shall mean pre-kindergarten through grade 12 in a public school recognized by the board of regents or the university of the state of New York, including charter schools authorized pursuant to article fifty-six of the education law.

(5) "Full-time study" within an approved master's degree in education program shall be defined by the institution.

(6) "Initial certification" shall mean any certification issued pursuant to part 80 of this title which allows the recipient to teach in a classroom setting on a full-time basis.

(7) "Interruption in graduate study or employment" shall mean an allowable temporary period of leave for a definitive length of time due to circumstances approved by the corporation, including, but not limited to, maternity/paternity leave, death of a family member, or military duty.

(8) "Program" shall mean the New York State Masters-in-Education Teacher Incentive Scholarship Program codified in section 669-f of the education law.

(9) "Public institution of higher education" shall mean the state university of New York, as defined in subdivision 3 of section 352 of the education law, or the city university of New York as defined in subdivision 2 of section 6202 of the education law.

(10) "Rank" shall mean an applicant's position, relative to all other applicants, based on cumulative grade point average upon completion of an undergraduate program of study from a college or university located within New York State.

(11) "School year" shall mean the period commencing on the first day of July in each year and ending on the thirtieth day of June next following.

(12) "Successful completion of a term" shall mean that at the end of any academic term, the recipient: (i) met the eligibility requirements for the award pursuant to sections 661 and 669-f of the Education Law; (ii) maintained full-time status as defined in this section; and (iii) possessed a cumulative grade point average of 3.5 or higher as of the date of the certification by the institution.

(13) "Teach in a classroom setting on a full-time basis" shall mean continuous employment providing classroom instruction in a public elementary or secondary school, including charter schools and public pre-kindergarten programs, located within New York State, for at least 10 continuous months, each school year, for a number of hours to be determined by the labor contract between the teacher and employer, or if none of the above apply, the chief administrator of the school.

(b) Eligibility. An applicant must satisfy the eligibility requirements contained in both sections 669-f and 661 of the education law, provided however that an applicant for this Program must meet the good academic standing requirements contained in section 669-f of the education law.

(c) Priorities. If there are more applicants than available funds, the following provisions shall apply:

(1) First priority shall be given to applicants who have received payment of an award pursuant to section 669-f of the education law for the academic year immediately preceding the academic year for which payment is sought and have successfully completed the academic term for which payment is sought. First priority shall include applicants who received payment of an award pursuant to section 669-f of the education law, were subsequently granted an interruption in graduate study by the corporation for the academic year immediately preceding the academic year for which payment is sought and have successfully completed the academic term for which payment is sought. If there are more applicants than available funds, recipients shall be chosen by lottery.

(2) Second priority shall be given to up to five hundred new applicants, within the remaining funds available for the Program, if any. If there are more applicants than available funds, recipients shall be chosen by rank, starting at the applicant with the highest cumulative grade point average beginning in the 2016-17 academic year. In the event of a tie, distribution of any remaining funds shall be done by lottery.

(d) Administration.

(1) Applicants for an award shall apply for program eligibility at such times, on forms and in a manner prescribed by the corporation. The corporation may require applicants to provide additional documentation evidencing eligibility.

(2) Recipients of an award shall:

(i) execute a service contract prescribed by the corporation;

(ii) request payment at such times, on forms and in a manner specified by the corporation;

(iii) receive such awards for not more than four academic terms, or its equivalent, of full-time graduate study leading to certification as a public elementary or secondary classroom teacher, including charter schools, excluding any allowable interruption of study;

(iv) facilitate the submission of information from their employer attesting to the recipient's job title, the full-time work status of the recipient, and any other information necessary for the corporation to determine compliance with the program's employment requirements on forms and in a manner prescribed by the corporation; and

(v) provide any other information necessary for the corporation to determine compliance with the program's requirements.

(e) Amounts.

(1) The amount of the award shall be determined in accordance with section 669-f of the education law.

(2) Disbursements shall be made each term to institutions, on behalf of recipients, within a reasonable time upon successful completion of the term subject to the verification and certification by the institution of the recipient's grade point average and other eligibility requirements.

(3) Awards shall be reduced by the value of other educational grants and scholarships limited to tuition, as authorized by section 669-f of the education law.

(f) Failure to comply.

(1) All award monies received shall be converted to a 10-year student loan plus interest for recipients who fail to meet the statutory, regulatory, contractual, administrative or other requirement of this program.

(2) The interest rate for the life of the loan shall be fixed and equal to that published annually by the U.S. Department of Education for undergraduate unsubsidized Stafford loans at the time the recipient signed the service contract with the corporation.

(3) Interest shall begin to accrue on the day each award payment is disbursed to the institution.

(4) Interest shall be capitalized on the day the award recipient violates any term of the service contract or the date the corporation deems the recipient was no longer able or willing to perform the terms of the service contract. Interest on this capitalized amount shall continue to accrue and be calculated using simple interest until the amount is paid in full.

(5) Where a recipient has demonstrated extreme hardship as a result of a disability, labor market conditions, or other such circumstances, the corporation may, in its discretion, postpone converting the award to a student loan, temporarily suspend repayment of the amount owed, prorate the amount owed commensurate with service completed, discharge the amount owed, or take such other appropriate action.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt this emergency rule as a permanent rule and will publish a notice of proposed rule making in the *State Register* at some future date. The emergency rule will expire November 8, 2016.

Text of rule and any required statements and analyses may be obtained from: Cheryl B. Fisher, NYS Higher Education Services Corporation, 99 Washington Avenue, Room 1325, Albany, New York 12255, (518) 474-5592, email: regcomments@hesc.ny.gov

Regulatory Impact Statement

Statutory authority:

The New York State Higher Education Services Corporation's ("HESC") statutory authority to promulgate regulations and administer the New York State Masters-in-Education Teacher Incentive Scholarship Program ("Program") is codified within Article 14 of the Education Law. In particular, Subpart A of Chapter 56 of the Laws of 2015 created the Program by adding a new section 669-f to the Education Law. Subdivision 6 of section 669-f of the Education Law authorizes HESC to promulgate emergency regulations for the purpose of administering this Program.

Pursuant to Education Law § 652(2), HESC was established for the purpose of improving the post-secondary educational opportunities of eligible students through the centralized administration of New York State financial aid programs and coordinating the State's administrative effort in student financial aid programs with those of other levels of government.

In addition, Education Law § 653(9) empowers HESC's Board of Trustees to perform such other acts as may be necessary or appropriate to carry out the objectives and purposes of the corporation including the promulgation of rules and regulations.

HESC's President is authorized, under Education Law § 655(4), to propose rules and regulations, subject to approval by the Board of Trustees, governing, among other things, the application for and the granting and administration of student aid and loan programs, the repayment of loans or the guarantee of loans made by HESC; and administrative functions in support of state student aid programs. Also, consistent with Education Law § 655(9), HESC's President is authorized to receive assistance from any Division, Department or Agency of the State in order to properly carry out his or her powers, duties and functions. Finally, Education Law § 655(12) provides HESC's President with the authority to perform such other acts as may be necessary or appropriate to carry out effectively the general objects and purposes of HESC.

Legislative objectives:

The Education Law was amended to add a new section 669-f to create the "New York State Masters-in-Education Teacher Incentive Scholarship Program" (Program). The objective of this Program is to incent New York's highest-achieving undergraduate students to pursue teaching as a profession.

Needs and benefits:

According to a recent Wall Street Journal article, many experts call teacher quality the most important school-based factor affecting learning. Studies underscore the impact of highly effective teachers and the need to put them in classrooms with struggling students to help them catch up. To improve teacher quality, New York State has significantly raised the bar by modifying the three required exams and adding the Educative Teacher Performance Assessment, known as edTPA, as part of the licensing requirement for all teachers. To supplement this effort, this Program aims to incentivize top undergraduate students to pursue their master's degree in New York State and teach in public elementary and secondary schools (including charter schools) across the State.

The Program provides for annual tuition awards to students enrolled full-time, at a New York State public institution of higher education, in a master's degree in education program leading to a career as a classroom teacher in elementary or secondary education. Eligible recipients may receive annual awards for not more than two academic years of full-time graduate study. The maximum amount of the award is equal to the annual tuition charged to New York State resident students attending a graduate program full-time at the State University of New York (SUNY). Payments will be made directly to schools on behalf of students upon certification of their successful completion of the academic term.

Students receiving a New York State Masters-in-Education Teacher Incentive Scholarship Program award must sign a service agreement and agree to teach in the classroom at a New York State public elementary or secondary school, which includes charter schools, for five years following completion of their master's degree. Recipients who do not fulfill their service obligation will have the value of their awards converted to a student loan and be responsible for interest.

Costs:

a. There are no application fees, processing fees, or other costs to the applicants of this Program.

b. It is anticipated that there will be no costs to the agency for the implementation of, or continuing compliance with this rule.

c. The maximum cost of the Program to the State is $1.5 million in the first year, based upon budget estimates.

d. It is anticipated that there will be no costs to Local Governments for the implementation of, or continuing compliance with, this rule.

e. The source of the cost data in (c) above is derived from the New York State Division of the Budget.

Local government mandates:

No program, service, duty or responsibility will be imposed by this rule upon any county, city, town, village, school district, fire district or other special district.

Paperwork:

This proposal will require applicants to file an electronic application, together with supporting documentation, for eligibility. Each year recipients will file an electronic request for payment together with supporting documentation for up to two years of award payments. Recipients are required to sign a contract for services in exchange for an award. Recipients must submit annual status reports until a final disposition is reached in accordance with the written contract.

Duplication:

No relevant rules or other relevant requirements duplicating, overlapping, or conflicting with this rule were identified.

Alternatives:

The proposed regulation is the result of HESC's outreach efforts to the State Education Department, the State University of New York and the City University of New York with regard to this Program. Several alternatives were considered in the drafting of this regulation. For example, several alternatives were considered in defining terms used in the regulation as well as the administration of the Program. Given the statutory language as set forth in section 679-g of the Education Law, a "no action" alternative was not an option.

Federal standards:

This proposal does not exceed any minimum standards of the Federal Government and efforts were made to align it with similar federal subject areas as evidenced by the adoption of the federal undergraduate unsubsidized Stafford loan rate in the event that the award is converted to a student loan.

Compliance schedule:
The agency will be able to comply with the regulation immediately upon its adoption.

Regulatory Flexibility Analysis

This statement is being submitted pursuant to subdivision (3) of section 202-b of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's ("HESC") Emergency Rule Making, seeking to add a new section 2201.17 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not impose an adverse economic impact on small businesses or local governments. HESC finds that this rule will not impose any compliance requirement or adverse economic impact on small businesses or local governments. Rather, it has potential positive economic impacts inasmuch as it implements a statutory student financial aid program that provides tuition benefits to students attending a New York State public institution of higher education who pursue their master's degree in an education program leading to a career as a teacher in public elementary or secondary education. Students will be rewarded for remaining and working in New York, which will provide an economic benefit to the State's small businesses and local governments as well.

Rural Area Flexibility Analysis

This statement is being submitted pursuant to subdivision (4) of section 202-bb of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Emergency Rule Making, seeking to add a new section 2201.17 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not impose an adverse impact on rural areas. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides tuition benefits to students attending a New York State public institution of higher education who pursue their master's degree in an education program leading to a career as a teacher in public elementary or secondary education. Students will be rewarded for remaining and working in New York, which benefits rural areas around the State as well.

This agency finds that this rule will not impose any reporting, record keeping or other compliance requirements on public or private entities in rural areas.

Job Impact Statement

This statement is being submitted pursuant to subdivision (2) of section 201-a of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Emergency Rule Making seeking to add a new section 2201.17 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not have any negative impact on jobs or employment opportunities. Rather, it has potential positive economic impacts inasmuch as it implements a statutory student financial aid program that provides tuition benefits to students attending a New York State public institution of higher education who pursue their master's degree in an education program leading to a career as a teacher in public elementary or secondary education. Students will be rewarded for remaining and working in New York, which will benefit the State as well.

NOTICE OF ADOPTION

Tuition Awards for Part-Time Undergraduate Students

I.D. No. ESC-26-16-00012-A

Filing No. 787

Filing Date: 2016-08-16

Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 2207.1(d)(1)(i) of Title 8 NYCRR.

Statutory authority: Education Law, sections 653, 655 and 666

Subject: Tuition awards for part-time undergraduate students.

Purpose: The purpose of the rule is to conform the provision regarding income to a recent statutory change.

Text or summary was published in the June 29, 2016 issue of the Register, I.D. No. ESC-26-16-00012-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Cheryl B. Fisher, New York State Higher Education Services Corporation, 99 Washington Avenue, Room 1325, Albany, New York 12255, (518) 474-5592, email: regcomments@hesc.ny.gov

Assessment of Public Comment

The agency received no public comment.

Department of Law

NOTICE OF ADOPTION

Clarification of Protections for Senior and Disabled Tenants During Condominium or Cooperative Ownership Conversions

I.D. No. LAW-47-15-00007-A

Filing No. 793

Filing Date: 2016-08-16

Effective Date: 2016-09-01

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of sections 18.1(e)(5), (6), 18.5(e)(10), 23.1(e)(5), (6) and 23.5(e)(10); amendment of sections 18.3(d), (l), 23.3(d), (m) and (n)(8) of Title 13 NYCRR.

Statutory authority: General Business Law, section 352-e(2-b)

Subject: Clarification of Protections for Senior and Disabled Tenants During Condominium or Cooperative Ownership Conversions.

Purpose: To clarify the Martin Act's non-purchasing tenant protections for eligible senior citizens and eligible disabled persons.

Text or summary was published in the November 25, 2015 issue of the Register, I.D. No. LAW-47-15-00007-EP.

Final rule as compared with last published rule: No changes.

Revised rule making(s) were previously published in the State Register on February 24, 2016.

Text of rule and any required statements and analyses may be obtained from: Jacqueline Dischell, Assistant Attorney General, Department of Law, 120 Broadway, 23rd Floor, New York, NY 10271, (212) 416-8655, email: jackie.dischell@ag.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2017, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The agency received no public comment.

Office of Mental Health

NOTICE OF ADOPTION

Telepsychiatry Services

I.D. No. OMH-17-16-00010-A

Filing No. 780

Filing Date: 2016-08-11

Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of Part 596; and repeal of section 599.17 of Title 14 NYCRR.

Statutory authority: Mental Hygiene Law, sections 7.09, 31.02 and 31.04

Subject: Telepsychiatry Services.

Purpose: Establish basic standards to approve telepsychiatry in certain OMH-licensed programs; repeal unnecessary existing provisions.

Text of final rule: 1. Section 599.17 of Title 14 NYCRR is repealed.

2. A new Part 596 is added to Title 14 NYCRR to read as follows:

Part 596
TELEPSYCHIATRY SERVICES
§ 596.1 Background and intent.
(a) Telepsychiatry is defined as the use of two-way real-time interactive audio and video equipment to provide and support mental health services at a distance. Such services do not include a telephone conversation, electronic mail message or facsimile transmission between a provider and a recipient, or a consultation between two professional or clinical staff.
(b) Telepsychiatry can be beneficial to a mental health care delivery system, particularly when on-site services are not available or would be delayed because of distance, location, time of day, or availability of resources. The benefits of telepsychiatry can include improved access to care, provision of care locally in a more timely fashion, improved continuity of care, improved treatment compliance, and coordination of care.
(c) The Office of Mental Health supports the use of telepsychiatry as an appropriate component of the mental health delivery system to the extent that it is in the best interests of the person served and is performed in compliance with applicable federal and state laws and regulations and the provisions of this Part in order to address legitimate concerns about privacy, security, patient safety, and interoperability.
§ 596.2 Legal base.
(a) Section 7.09 of the Mental Hygiene Law grants the Commissioner of Mental Health the power and responsibility to adopt regulations that are necessary and proper to implement matters under his or her jurisdiction.
(b) Sections 31.02 and 31.04 of the Mental Hygiene Law authorize the Commissioner of Mental Health to set standards of quality and adequacy of facilities, equipment, personnel, services, records and programs for the rendition of services for persons diagnosed with mental illness, pursuant to an operating certificate.
§ 596.3 Applicability.
The provisions of this Part shall apply to any provider licensed pursuant to Article 31 of the Mental Hygiene Law who has been authorized by the Office under this Part to include the use of telepsychiatry as a means of rendering licensed services, provided, however, that telepsychiatry shall not be utilized in Personalized Recovery Oriented Services (PROS) programs subject to Part 512 of this Title or Assertive Community Treatment (ACT) programs approved pursuant to Part 551 of this Title.
§ 596.4 Definitions.
For purposes of this Part:
(a) Distant or "hub" site means the distant location at which the practitioner rendering the telepsychiatry service is located.
(b) Encounter means a telepsychiatry event involving patient contact, whereby the care of the patient is the direct responsibility of both the originating (spoke site) provider and the distant (hub site) provider.
(c) Encryption means a system of encoding data on a Web page or email where the information can only be retrieved and decoded by the person or computer system authorized to access it.
(d) Originating or "spoke" site means the site where the patient is physically located at the time mental health services are delivered to her/him by means of telepsychiatry.
(e) Nurse practitioner in psychiatry means a person currently certified as a nurse practitioner with an approved specialty area of psychiatry (NPP) by the New York State Education Department or who possesses a permit from the New York State Education Department.
(f) Physician means a physician currently licensed to practice medicine in New York State who (i) is a diplomat of the American Board of Psychiatry and Neurology or is eligible to be certified by that Board, or (ii) is certified by the American Osteopathic Board of Neurology and Psychiatry or is eligible to be certified by that Board.
(g) Practitioner means a physician or nurse practitioner in psychiatry who is providing telepsychiatry services from a distant or hub site in accordance with the provisions of this Part.
(h) Provider of services means a provider of mental health services licensed pursuant to Article 31 of the Mental Hygiene Law.
(i) Qualified mental health professional means a practitioner possessing a license or a permit from the New York State Education Department who is qualified by credentials, training, and experience to provide direct services related to the treatment of mental illness and shall include physicians and nurse practitioner in psychiatry, as defined in subdivisions (e) and (f) of this Section, as well as the following:
(1) Creative arts therapist: a person currently licensed as a creative arts therapist by the New York State Education Department or who possesses a creative arts therapist permit from the New York State Education Department.
(2) Licensed practical nurse: a person currently licensed as a licensed practical nurse by the New York State Education Department or who possesses a licensed practical nurse permit from the New York State Education Department.
(3) Licensed psychoanalyst: a person currently licensed as a psychoanalyst by the New York State Education Department or who possesses a permit from the New York State Education Department.
(4) Licensed psychologist: a person currently licensed as a psychologist by the New York State Education Department, or who possesses a permit from the New York State Education Department and who possesses a doctoral degree in psychology, or an individual who has obtained at least a master's degree in psychology who works in a federal, state, county or municipally operated clinic.
(5) Marriage and family therapist: a person currently licensed as a marriage and family therapist by the New York State Education Department or who possesses a permit from the New York State Education Department.
(6) Mental health counselor: a person currently licensed as a mental health counselor by the New York State Education Department or who possesses a permit from the New York State Education Department.
(7) Nurse practitioner: a person currently certified as a nurse practitioner by the New York State Education Department or who possesses a permit from the New York State Education Department.
(8) Physician: a person currently licensed as a psychiatrist by the New York State Education Department or who possesses a permit from the New York State Education Department.
(9) Physician assistant: a person currently registered as a physician assistant by the New York State Education Department or who possesses a permit from the New York State Education Department.
(10) Registered professional nurse: a person currently licensed as a registered professional nurse by the New York State Education Department or who possesses a permit from the New York State Education Department.
(11) Social worker: a person who is either currently licensed as a licensed master social worker or as a licensed clinical social worker (LCSW) by the New York State Education Department, or who possesses a permit from the New York State Education Department to practice and use the title of either licensed master social worker or licensed clinical social worker.
(j) Telecommunication system means an interactive telecommunication system that is used to transmit data between the originating/ spoke and distant/hub sites.
(k) Telepsychiatry means the use of two-way real-time interactive audio and video to provide and support clinical psychiatric care at a distance. Such services do not include a telephone conversation, electronic mail message, or facsimile transmission between a provider and a patient or a consultation between two physicians or nurse practitioners, or other staff, although these activities may support telepsychiatry services.
§ 596.5 Approval to Utilize Telepsychiatry Services.
(a) Telepsychiatry services may be authorized by the Office for assessment and treatment services provided by physicians or nurse practitioners, as defined in Section 596.4 of this Part, from a site distant from the location of a patient, where the patient is physically located at an originating/ spoke site licensed by the Office, and the physician or nurse practitioner is physically located at a distant/hub site that participates in the New York State Medicaid program.
(b) A provider of services must obtain prior written approval of the Office before utilizing telepsychiatry services.
(c) Approval shall be based on receipt by the Office of the following:
(1) Sufficient written demonstration that telepsychiatry will be used for assessment and treatment services consistent with the provisions of this Part, and that the services are being requested because they are necessary to improve the quality of care of individuals receiving services;
(2) Submission of a written plan to provide telepsychiatry services that satisfies the provisions of this Part and includes:
(i) confidentiality protections for persons who receive telepsychiatry services, including measures to ensure the security of the electronic transmission;
(ii) informed consent of persons who receive telepsychiatric services;
(iii) procedures for handling emergencies with persons who receive telepsychiatric services; and
(iv) contingency procedures to use when the delivery of telepsychiatric service is interrupted, or when the transmission of the two-way interactions is deemed inadequate for the purpose of service provision.
(d) Requests for approval to offer telepsychiatry services shall be submitted to the Field Office serving the area in which the originating/ spoke site is located. The request for approval shall be submitted by the originating site. Such Field Office may make an on-site visit to either or both sites prior to issuing approval.
(e) The Office shall provide its approval to utilize telepsychiatry services in writing. The provider of services must retain a copy of the approval document and shall make it available for inspection upon request of the Office.
(f) Failure to adhere to the requirements set forth in this Part may be grounds for revocation of such approval. In the event that the Office determines that approval to utilize telepsychiatry services must be

revoked, it will notify the provider of services of its decision in writing. The provider of services may request an informal administrative review of such decision.

(1) The provider of services must request such review in writing within 15 days of the date it receives notice of revocation of approval to utilize telepsychiatry services to the Commissioner or designee. The request shall state specific reasons why such provider considers the revocation of approval incorrect and shall be accompanied by any supporting evidence or arguments.

(2) The Commissioner or designee shall notify the provider of services, in writing, of the results of the informal administrative review within 20 days of receipt of the request for review. Failure of the Commissioner or designee to respond within that time shall be considered confirmation of the revocation of deemed status.

(3) The Commissioner's determination after informal administrative review shall be final and not subject to further administrative review.

§ 596.6 Requirements for Telepsychiatry Services.

(a) General requirements.

(1) The distant/ hub site practitioner must:

(i) possess a current, valid license to practice in New York State;

(ii) directly render the telepsychiatry service;

(iii) abide by the laws and regulations of the State of New York including the New York State Mental Hygiene Law and any other law, regulation, or policy that governs the assessment or treatment service being provided;

(iv) exercise the same standard of care as in-house delivered services; and

(v) deliver services from a site that is enrolled in the New York State Medicaid program.

(2) The distant/hub provider and originating/spoke site provider of service must not be terminated, suspended, or barred from the Medicaid or Medicare program.

(3) If the originating/spoke site is a hospital, the practitioner at the distant/hub site must be credentialed and privileged by such hospital, consistent with applicable accreditation standards.

(4) Telepsychiatry services must be rendered using an interactive telecommunication system.

(5) A notation must be made in the clinical record that indicates that the service was provided via telepsychiatry and which specifies the time the service was started and the time it ended.

(6) Telepsychiatry services provided to patients under age 18 may include staff that are qualified mental health professionals, as such term is defined in this Part, or other appropriate staff of the originating/spoke site in the room with the patient. Such determinations shall be clinically based, consistent with clinical guidelines issued by the Office.

(7) For the purposes of this Part, telepsychiatry services shall be considered face-to-face contacts when the service is delivered in accordance with the provisions of the plan approved by the Office pursuant to Section 596.5 of this Part.

(8) Culturally competent interpreter services shall be provided in the patient's preferred language when the patient and distant/hub practitioners do not speak the same language.

(9) The practitioner providing telepsychiatry services at a distant/hub site shall be considered an active part of the patient's treatment team and shall be available for discussion of the case or for interviewing family members and others, as the case may require. Such practitioner shall prepare appropriate progress notes and securely forward them to the originating/spoke provider as a condition of reimbursement.

(10) Telepsychiatry services shall not be used:

(i) for purposes of ordering medication over objection or restraint or seclusion, as defined in section 526.4 of this Title; or

(ii) to satisfy any specific statutory examination, evaluation or assessment requirement necessary for the involuntary removal from the community, or involuntary retention in a hospital pursuant to any of the provisions of Article 9 of the Mental Hygiene Law. Physicians conducting such examinations, evaluations or assessments may only utilize telepsychiatry on a consultative basis.

(b) Protocols and Procedures. A provider of services approved to utilize telepsychiatry services must have written protocols and procedures that address the following:

(1) Informed Consent: Protocols must exist affording persons receiving services the opportunity to provide informed consent to participate in any services utilizing telepsychiatry, including the right to refuse these services and to be apprised of the alternatives to telepsychiatry services, including any delays in service, need to travel, or risks associated with not having the services provided by telepsychiatry. Such informed consent may be incorporated into the informed consent process for in-person care, or a separate informed consent process for telepsychiatry services may be developed and used.

(i) The patient must be provided with basic information about telepsychiatry and shall provide his or her informed consent to participate in services utilizing this technology.

(ii) For patients under age 18, such information shall be shared with and informed consent obtained from the patient's parent or guardian.

(iii) The patient has the right to refuse to participate in telepsychiatry services, in which case evaluations must be conducted in-person by appropriate clinicians.

(iv) Telepsychiatry sessions shall not be recorded without the patient's consent.

(2) Confidentiality: Protocols and procedures should be maintained as required by Mental Hygiene Law Section 33.13 and the Health Insurance Portability and Accountability Act (HIPAA) at 45 CFR Parts 160 and 164. Such protocols shall ensure that all current confidentiality requirements and protections that apply to written clinical records shall apply to services delivered by telecommunications, including the actual transmission of the service, any recordings made during the time of transmission, and any other electronic records.

(i) All confidentiality requirements that apply to written medical records shall apply to services delivered by telecommunications, including the actual transmission of the service, any recordings made during the time of transmission, and any other electronic records.

(ii) The spaces occupied by the patient at the originating/spoke site and the practitioner at the distant/hub site must meet the minimum standards for privacy expected for patient-clinician interaction at a single Office of Mental Health licensed location.

(3) Security of Electronic Transmission: All telepsychiatry services must be performed on dedicated secure transmission linkages that meet minimum federal and state requirements, including but not limited to 45 C.F.R. Parts 160 and 164 (HIPAA Security Rules), and which are consistent with guidelines of the Office. Transmissions must employ acceptable authentication and identification procedures by both the sender and the receiver.

(4) Psychiatric emergencies: Protocols should exist to address psychiatric emergencies, which may override the right to confidentiality to require the presence of others if, for instance, an individual receiving services is suicidal, homicidal, dissociated, or acutely psychotic during the evaluation or treatment service. In general this individual should not be managed via telepsychiatry without qualified mental health professionals present at the originating/spoke site, unless there are no adequate alternatives and immediate intervention is deemed essential for patient safety. All telepsychiatry sites must have a written procedure detailing the availability of in-person assessments by a physician or nurse practitioner in an emergency situation.

(5) Prescribing medications via telepsychiatry: Procedures for prescribing medications through telepsychiatry must be identified and must be in accordance with applicable New York State and federal regulations.

(6) Procedures for first evaluations for involuntary commitments: Under New York State law, physicians must conduct first evaluations for involuntary commitments of individuals. If these evaluators want additional consultation before rendering their decision, they may obtain consultation from psychiatrists via telepsychiatry. The responsibility for signing the commitment papers remains with the physician who actually conducted the evaluation of the individual at the facility, not the psychiatrist who provided the telepsychiatric consultation.

(7) Patient rights: Patient rights policies must ensure that each individual receiving telepsychiatry services:

(i) is informed and made aware of the role of the practitioner at the distant/hub site, as well as qualified professional staff at the originating/spoke site who are going to be responsible for follow-up or on-going care;

(ii) is informed and made aware of the location of the distant/hub site and all questions regarding the equipment, the technology, etc., are addressed;

(iii) has the right to have appropriately trained staff immediately available to him/her while receiving the telepsychiatry service to attend to emergencies or other needs;

(iv) has the right to be informed of all parties who will be present at each end of the telepsychiatry transmission; and

(v) if the patient is a minor, the patient and his or her parent or guardian shall be given the opportunity to provide input regarding who will be in the room with the patient when telepsychiatry services are provided.

(8) Quality of Care: All telepsychiatry sites shall have established written quality of care protocols to ensure that the services meet the requirements of New York state and federal laws and established patient care standards. A review of telepsychiatry services shall be included in the provider's quality management process

(9) Contingency Plan: All telepsychiatry sites must have a written procedure detailing the contingency plan when there is a failure of the

transmission or other technical difficulties that render the service undeliverable.

(c) Guidelines of the Office. The Office shall develop guidelines to assist providers in complying with the provisions of this Part and in achieving treatment goals through the use of telepsychiatry. The Office shall post such guidelines on its public website.

§ 596.7 Reimbursement for Telepsychiatry Services.

(a) The originating/spoke site where the patient is admitted is authorized to bill Medicaid for telepsychiatry services.

(b) Under the Medicaid program, telepsychiatry services are covered when medically necessary and under the following circumstances:

(1) the person receiving services is located at the originating/spoke site and the practitioner is located at the distant/hub site;

(2) the originating/spoke site is the provider of services where the person receiving services is located;

(3) the distant/hub site is the site where the practitioner is located;

(4) the person receiving services is present during the telepsychiatry encounter or consultation;

(5) the physician/nurse practitioner is not conducting the telepsychiatry encounter consultation at the originating/spoke site;

(6) the request for telepsychiatry services and the rationale for the request are documented in the individual's clinical record;

(7) the clinical record includes documentation that the telepsychiatry encounter or consultation occurred and that the results and findings were communicated to the requesting provider of services;

(8) the practitioner at the distant/hub site is:

(i) licensed in New York State;

(ii) practicing within his/her scope of specialty practice;

(iii) providing services from a site that participates in New York Medicaid;

(iv) affiliated with the originating/spoke site facility; and

(v) if the originating/spoke site is a hospital, credentialed and privileged at the originating/spoke site facility.

(c) If the person receiving services is not present during the provision of the telepsychiatry service, the service is not eligible for Medicaid reimbursement and remains the responsibility of the originating/spoke facility.

(d) The following interactions do not constitute reimbursable telepsychiatry services;

(1) telephone conversations;

(2) video cell phone interactions;

(3) e-mail messages.

(e) The originating/spoke site may bill for administrative expenses only when a telepsychiatric connection is being provided and a physician or nurse practitioner is not present at the originating/spoke site with the patient at the time of the encounter.

(f) Reimbursement for services provided via telepsychiatry must be in accordance with the rates and fees established by the Office and approved by the Director of the Budget.

(g) If a telepsychiatry service is undeliverable due to a failure of transmission or other technical difficulty, reimbursement shall not be provided.

§ 596.8 Contracts for the Provision of Telepsychiatry Services.

(a) Nothing in this Part shall be deemed to prohibit a provider of services from providing assessment and treatment services, consistent with applicable regulations of the Office, as a distant/hub site via telepsychiatry pursuant to contract with an originating/spoke site provider that is not licensed or operated by the Office, but which is enrolled in the New York State Medicaid program.

(b) Although prior approval of the Office is not required before entering into such contracts, notice of such contracts or agreements shall be provided by the distant/hub provider of services within 30 days after execution of such contract to the Field Office serving the area where such provider of services is located.

(c) Reimbursement for telepsychiatry service shall be pursuant to such contracts and are not separately billable by the distant/hub site.

(d) Providers of service shall not engage in distant/hub telepsychiatric services that violate the provisions of paragraph (10) of subdivision (a) of Section 596.6 of this Part.

Final rule as compared with last published rule: Nonsubstantive changes were made in sections 596.1(a), (b), 596.3, 596.5(a), (d), 596.6(a)(1)(v), (6), (b)(1), (7)(v), 596.7(b)(2), (8)(iii), (e) and 596.8(a).

Text of rule and any required statements and analyses may be obtained from: Jessica Kircher, NYS Office of Mental Health, 44 Holland Avenue, Albany, NY 12229, (518) 474-1331, email: Jessica.Kircher@omh.ny.gov

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement are not required because the changes made to the last published rule do not necessitate revision to the previously published documents. The changes to the text are not substantial, do not change the meaning of any provision and therefore do not change any statements in the document.

Initial Review of Rule

As a rule that does not require a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2021, which is no later than the 5th year after the year in which this rule is being adopted.

Assessment of Public Comment

The Office of Mental Health has received public comments from five stakeholder entities, including providers and provider organizations. All of the comments were reviewed, assessed and taken into consideration. Below are the collective responses to each of the issues presented.

1. Comment: Several comments suggested that the range of licensed clinicians authorized to provide services remotely be expanded to include those outside of psychiatry. The definition of "practitioner" was brought into question due to the fact that it currently limits those authorized to provide these services to psychiatrists and nurse practitioners.

Response: These comments address issues beyond the intended scope of the regulation, and no changes were made to the proposed regulation in response to them. However, the Office will take these comments under advisement as it continues to evaluate and develop the use of technology in the delivery of mental health services.

2. Comment: Locations outside of OMH-licensed programs should have the ability to receive telepsychiatry services, such as in-home" telepsychiatry.

Response: The use of telepsychiatry in settings not licensed by OMH, such as in-home settings, implicates significant challenges such as emergency situations, privacy and confidentiality, and security of data OMH is not prepared to amend the regulations to accommodate this comment at this time. However, the Office will take these comments under advisement as it continues to evaluate and develop the use of technology in the delivery of mental health services.

3. Comment: The regulation should specify that when a minor is receiving telepsychiatry services, the minor and his/her parents/guardian may choose who they would like to have present in the room.

Response: The regulations have been clarified to reflect this comment. This provision now reads: (v) if the patient is a minor, the patient and his or her parent or guardian shall be given the opportunity to choose who will be in the room with the patient when telepsychiatry services are provided. 596.6 (b)(7)(v).

4. Comment: A suggestion was made to establish a procedure for prescription refills and the reporting/addressing of side effects of such medication in between telepsychiatry sessions.

Response: This is not a telepsychiatry regulatory issue. These types of issues should be managed consistent with the agency policy/practice for medication orders and renewals and documenting side effect, etc.

5. Comment: Adding to the list of telepsychiatry benefits a decrease in the cost of overall services.

Response: No changes to the regulations were made as a result of this comment. This regulation is not being proposed as a vehicle for cost savings.

6. Comment: It was suggested that the regulation expand the use of telepsychiatry to allow for ordering medication over objection or restraint or seclusion.

Response: These comments address issues beyond the intended scope of the regulation, some of which require statutory change, and no changes were made to the proposed regulation in response to them. However, the Office will take these comments under advisement as it continues to evaluate and develop the use of technology in the delivery of mental health services.

7. Comment: The issue of consent for telepsychiatry was raised by several commenters, who recommended that specific consent should not be deemed necessary for this type of service.

Response: No changes to the proposed regulation were made as a result of these comments. Obtaining informed consent for services delivered via telepsychiatry is considered a "best practice" and is recommended by groups such as the American Telemedicine Association. Providers have flexibility in either expanding the information provided in the consent process for in-person care, or in developing a separate consent for telepsychiatry. Informed consent for telepsychiatry incorporates issues that are different than in-person care. For example, technical issues like encryption or the potential for technical failure should be addressed. Other key topics include confidentiality and the limits to confidentiality in electronic communication; an agreed upon emergency plan, process by which patient information will be documented and stored; and the potential for technical failure.

8. Comment: OMH was asked to clarify the language detailing who determines if "all or part" of the telepsychiatry service is undeliverable.

Response: In response to this comment, language in subdivision (g) of

Section 596.7 has been clarified such that it now reads: "If a telepsychiatry service is undeliverable due to a failure of transmission or other technical difficulty, reimbursement shall not be provided."

9. Comment: A few comments expressed that telepsychiatry services should also be utilized by Assertive Community Treatment (ACT) programs and Personalized Recovery Oriented Services (PROS) programs.

Response: These comments address issues beyond the intended scope of the regulation, and no changes were made to the proposed regulation in response to them. However, the Office will take these comments under advisement as it continues to evaluate and develop the use of technology in the delivery of mental health services.

10. Comment: Concerns were raised about the OMH approval process for the use of telepsychiatry services. It was thought to be an unnecessary extra layer of approval for the delivery of mental health care. Additionally, commenters speculated about a possible delay in services that may come from this approval process.

Response: No changes to the regulations were made to address this comment. First, the ability to offer telepsychiatry services is an optional choice for providers – they are not required to offer this service. Second, the approval process established in the regulations is essential in order to ensure standards regarding equipment and technology are in place, which are essential to safeguard privacy. This administrative process is local (through the regional office) abbreviated and OMH anticipates requests for approval will be issued in a timely manner.

11. Comment: Some commenters had issue with the requirement of the distant/hub site practitioner to be enrolled in New York Medicaid. Much like the requests for expansion of services, it was thought by some that telepsychiatry should be available in non-Medicaid settings. One comment suggested that both the distant/hub site and the originating/spoke site be able to bill Medicaid, as is the case with Medicare.

Response: The regulations were not changed in response to this comment. Enrollment in the New York State Medicaid program does not preclude the ability to serve persons who are not Medicaid beneficiaries. There are numerous reasons for requiring Medicaid enrollment (e.g., Medicaid enrollment is a prerequisite for participation in the NYS Medicaid Electronic Health Records (EHR) Incentive Program), and physicians or providers ordering/referring services provided under the state plan or under a waiver of the state plan must enroll in Medicaid.

12. Comment: Clarification was requested regarding the term "affiliated" and what would be required to document an "affiliation".

Response: No changes to the regulation are required in light of this question. Clarification regarding the affiliation requirement will be provided in guidelines of the Office.

13. Comment: One comment suggested removing the restriction on the use of video cell phone interactions in order to achieve optimal access and maximal participation for both patients and providers.

Response: No changes to the regulations were made to address this comment. The restriction on cell phone interactions is designed to address legitimate concerns regarding patient confidentiality and security of transmission.

14. Comment: Several questions were raised regarding the billing for telepsychiatry services, specifically asking for clarification as to which providers can bill for clinical or administrative fees (hub or spoke?).

Response: No changes to the regulations is necessary to address this comment. The regulations direct OMH to develop guidelines to assist in implementation. Questions with respect to billing issues will be addressed in this guidance.

15. Comment: An additional billing question was presented requesting detailed guidance to providers on the billing and reimbursement for telepsychiatry services.

Response: No changes to the regulations is necessary to address this comment. The regulations direct OMH to develop guidelines to assist in implementation. Questions with respect to billing issues will be addressed in this guidance.

16. Comment: One comment suggested removing the phrase "and referring physician" from § 596.7(b)(2) as there are important circumstances in which the patient has not been referred by a physician.

Response: In response to this comment, OMH has removed the phrase "and referring physician" from § 596.7(b)(2).

17. Comment: There was a request to modify § 596.6(b)(6) to allow the telepsychiatric consultant to complete one of the two Physician Certificates in support of involuntary admission (9.27) with the remaining two signatories (Applicant, other Physician Certificate) present at the facility with the patient.

Response: These comments address issues beyond the intended scope of the regulation, and no changes were made to the proposed regulation in response to them. However, the Office will take these comments under advisement as it continues to evaluate and develop the use of technology in the delivery of mental health services.

18. Comment: One commenter recommended that the definition of telepsychiatry include a consultation between two physicians or nurse practitioners, or other staff when directly related to the treatment of an individual.

Response: No revisions or changes to the regulation are necessary to address this comment. The regulations do not preclude administrative use of telepsychiatry, although billing for administrative use is not permitted.

Department of Motor Vehicles

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Notices of Hearing

I.D. No. MTV-35-16-00003-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: This is a consensus rule making to amend section 127.1 of Title 15 NYCRR.

Statutory authority: Vehicle and Traffic Law, sections 215(a), 303(f) and 415(9-a)

Subject: Notices of hearing.

Purpose: Provides for mailing by first class mail for most DMV hearings.

Text of proposed rule: Subdivision (b) of section 127.1 is amended to read as follows:

(b) In a hearing initiated through a complaint or investigation of the Division of Vehicle Safety, notice shall be mailed at least 30 days prior to the scheduled date of the hearing, unless a hearing is required by law to be held at an earlier time. Notices of vehicle safety hearings shall be mailed by [certified] *first class* mail*, unless otherwise required by the Vehicle and Traffic Law,* to the respondent at his or her last-known address on file with the department.

Text of proposed rule and any required statements and analyses may be obtained from: Heidi Bazicki, Department of Motor Vehicles, 6 Empire State Plaza, Rm. 522A, Albany, NY 12228, (518) 474-0871, email: heidi.bazicki@dmv.ny.gov

Data, views or arguments may be submitted to: Ida Traschen, Department of Motor Vehicles, 6 Empire State Plaza, Rm. 522A, Albany, NY 12228, (518) 474-0871, email: heidi.bazicki@dmv.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Consensus Rule Making Determination

The Department of Motor Vehicles (DMV) conducts hearings related to alleged violations committed by repair shops, dealers, dismantlers and inspection stations. Currently, the Commissioner's Regulation, set forth in Part 127.1(b), provides that notice of such hearings shall be mailed by certified mail. However, since 2011, the DMV has been mailing such notices by first class mail, unless otherwise required by statute.

The DMV instituted the procedure to send notices by first class mail in order to save staff time and reduce cost. Over the past 5 years, the DMV has saved approximately $30,000 by using first class mail. This proposed rule codifies by regulation the DMV's practice of sending notices by first class mail, unless the Vehicle and Traffic Law directs otherwise.

Since the proposed rule simply reflects current practice, for which we have received no complaints over the past five years, a consensus rule is appropriate.

Job Impact Statement

A Job Impact Statement is not submitted with this rule because it will not have an adverse impact on job creation or development.

Public Service Commission

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Proposed Acquisition of 100% of the Assets of Hoey-DeGraw by NYAW and to Address Other Matters Related to the Acquisition

I.D. No. PSC-35-16-00014-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Public Service Commission is considering a Joint Petition filed by New York American Water Company Inc. (NYAW) and Hoey-DeGraw Water Works Inc. (Hoey-DeGraw) for the purchase of all assets of Hoey-DeGraw by NYAW and other related matters.

Statutory authority: Public Service Law, sections 4(1), 5(1), 89-c(1), (10) and 89-h(1)

Subject: Proposed acquisition of 100% of the assets of Hoey-DeGraw by NYAW and to address other matters related to the acquisition.

Purpose: To consider the proposed acquisition of 100% of assets of Hoey-DeGraw by NYAW and other matters related to the acquisition.

Substance of proposed rule: The Public Service Commission is considering a joint petition filed on August 11, 2016 by Hoey-DeGraw Water Works Inc. (Hoey-DeGraw) and New York American Water Company Inc. (NYAW) for approval of an Agreement of Sale under which Hoey-DeGraw will sell and NYAW will purchase 100% of the water supply assets of Hoey-DeGraw. Hoey-DeGraw provides flat rate water service to 18 customers in the Town of Forestburgh, Sullivan County, New York. NYAW proposes, upon close of the transaction, the installation of meters at each connection which would be funded by the capital budget of NYAW. NYAW also proposes transitioning the customers of Hoey-DeGraw to the Lynbrook District Tariff and monthly billing in arrears. NYAW also requests the authority to maintain the books and records of Hoey-DeGraw outside of New York State, seeks recovery of certain costs related to the acquisition, and requests waiver of certain requirements of 16 NYCRR § 31.1 related to information required to be provided in the petition. The Commission may adopt, reject, or modify, in whole or in part, the joint petition and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(16-W-0432SP1)

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

NYSRC's Revisions to Its Rules and Measurements

I.D. No. PSC-35-16-00015-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering revisions to the rules and measurements of the New York State Reliability Council (NYSRC) contained in Version 37 of the NYSRC's Reliability Rules.

Statutory authority: Public Service Law, sections 4(1), 5(2), 65(1), 66(1), (2), (4) and (5)

Subject: NYSRC's revisions to its rules and measurements.

Purpose: To consider revisions to various rules and measurements of the NYSRC.

Substance of proposed rule: The Public Service Commission (PSC) is considering revisions to the rules and measurements of the New York State Reliability Council (NYSRC) contained in Version 37 of the NYSRC's Reliability Rules, which were filed with the PSC on July 15, 2016. The Commission may adopt, reject or modify, in whole or in part, the relief proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 45 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(05-E-1180SP16)

Office of Temporary and Disability Assistance

NOTICE OF ADOPTION

Supplemental Nutrition Assistance Program

I.D. No. TDA-22-15-00005-A

Filing No. 786

Filing Date: 2016-08-15

Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 387.1; and addition of section 387.25 to Title 18 NYCRR.

Statutory authority: 7 United States Code, section 2020(s); Social Services Law, sections 20(3)(d) and 95

Subject: Supplemental Nutrition Assistance Program.

Purpose: Update regulations for the Transitional Benefits Alternative program.

Text or summary was published in the June 3, 2015 issue of the Register, I.D. No. TDA-22-15-00005-P.

Final rule as compared with last published rule: No changes.

Revised rule making(s) were previously published in the State Register on June 15, 2016.

Text of rule and any required statements and analyses may be obtained from: Matthew Tulio, New York State Office of Temporary and Disability Assistance, 40 North Pearl Street, 16C, Albany, New York 12243-0001, (518) 486-9568, email: Matthew.Tulio@otda.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2019, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Emergency Shelters

I.D. No. TDA-25-16-00002-A

Filing No. 788

Filing Date: 2016-08-16

Effective Date: 2016-08-31

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of section 352.38 to Title 18 NYCRR.

Statutory authority: Social Services Law, sections 17(a)-(b), (j), 20(2)-(3), 34, 460-c and 460-d

Subject: Emergency shelters.

Purpose: To address security measures and incident reporting in shelters for the homeless.

Text or summary was published in the June 22, 2016 issue of the Register, I.D. No. TDA-25-16-00002-EP.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Richard P. Rhodes, Jr., New York State Office of Temporary and Disability Assistance, 40 North Pearl Street, 16-C, Albany, NY 12243-0001, (518) 486-7503, email: richard.rhodesjr@otda.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2019, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The Office of Temporary and Disability Assistance (OTDA) received comments relative to emergency regulation 18 NYCRR § 352.38 (§ 352.38), which addresses security measures and incident reporting in shelters for the homeless. The comments pertaining to § 352.38 have been reviewed and are duly considered in this Assessment of Public Comments.

One comment characterized § 352.38 as an unfunded mandate and requested that OTDA fully reimburse the social services districts (SSDs) for any and all expenses related to the administration of § 352.38. As previously stated in the Regulatory Impact Statement, OTDA anticipates the fiscal impact of the emergency regulation will be minimal so long as SSDs are in compliance with existing security and fire safety standards.

One comment asserted that SSD employees do not generally have the expertise to assess the adequacy of security plans or to provide the oversight and guidance necessary to ensure that a security plan is operational. However, SSL § 62(1) explicitly provides that "each public welfare district shall be responsible for the assistance and care of any person who resides or is found in its territory and who is in need of public assistance and care which he is unable to provide for him or herself." SSDs are therefore statutorily mandated to take appropriate measures to help ensure the safety and welfare of persons in need of public assistance and care.

Another comment requested that commercial hotels and motels used to provide emergency shelter be excluded from consideration under § 352.38(a), which requires each emergency shelter to submit a security plan to both the SSD in which it is located and to OTDA. The comment reasoned that in some SSDs commercial hotels and motels are utilized only occasionally for emergency shelter, and it would be impractical, if not impossible, to prospectively obtain, review and assess safety plans for commercial hotels or motels. OTDA notes that the emergency regulation, by its explicit terms, applies only to "facilit[ies] with overnight sleeping accommodations, the primary purpose of which is to provide temporary shelter to recipients of temporary housing assistance" (emphasis added). Consequently, under the current emergency regulation, a hotel or motel is required to submit a security plan for approval only when more than 50 percent of its space is used to provide emergency shelter; therefore, commercial hotels and motels used only occasionally to provide emergency shelter when no other suitable housing is available generally will not be required to submit security plans.

In view of the foregoing, OTDA does not believe that revisions to the current emergency regulation are necessary.

HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

Agency I.D. No.	Subject Matter	Location—Date—Time
Environmental Conservation, Department of		
ENV-31-16-00003-P	Waste fuels	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—Sept. 30, 2016, 1:00 p.m.
Public Service Commission		
PSC-28-16-00015-P	Major water rate filing	Department of Public Service, Three Empire State Plaza, 3rd Fl. Hearing Rm., Albany, NY—Oct. 13, 2016, 10:30 a.m., and continuing daily as needed. (Evidentiary Hearing)* *On occasion, there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 16-W-0259.
PSC-32-16-00005-P	Major gas rate filing	Department of Public Service, Agency Bldg. 3, 3rd Fl. Hearing Rm., Albany, NY—Oct. 5, 2016, 10:00 a.m., and daily on succeeding business days as needed. (Evidentiary Hearing)* *On occasion, there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 16-G-0257.

ACTION PENDING INDEX

The action pending index is a list of all proposed rules which are currently being considered for adoption. A proposed rule is added to the index when the notice of proposed rule making is first published in the *Register*. A proposed rule is removed from the index when any of the following occur: (1) the proposal is adopted as a permanent rule; (2) the proposal is rejected and withdrawn from consideration; or (3) the proposal's notice expires.

Most notices expire in approximately 12 months if the agency does not adopt or reject the proposal within that time. The expiration date is printed in the second column of the action pending index. Some notices, however, never expire. Those notices are identified by the word "exempt" in the second column. Actions pending for one year or more are preceded by an asterisk(*).

For additional information concerning any of the proposals listed in the action pending index, use the identification number to locate the text of the original notice of proposed rule making. The identification number contains a code which identifies the agency, the issue of the *Register* in which the notice was printed, the year in which the notice was printed and the notice's serial number. The following diagram shows how to read identification number codes.

Agency code	Issue number	Year published	Serial number	Action Code
AAM	**01**	**12**	**00001**	**P**

Action codes: P — proposed rule making; EP — emergency and proposed rule making (expiration date refers to proposed rule); RP — revised rule making

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
ADIRONDACK PARK AGENCY			
APA-09-16-00005-P	.... 03/02/17	Access to Agency Records	To conform Adirondack Park Agency rules to the Public Officers Law and rules promulgated by the Committee on Open Government
AGRICULTURE AND MARKETS, DEPARTMENT OF			
AAM-23-16-00005-P	.... 06/08/17	National Institute of Standards and Technology (''NIST'') Handbook 44; receipts issued by taxicab operators, digital scales	To incorporate NIST Handbook 44 (2016 edition); to allow handwritten taxicab receipts; to liberalize scale requirements
AAM-34-16-00002-P	.... 08/24/17	Gasoline and gasoline alcohol blends	To allow for gasoline alcohol blends that contain up to fifteen percent alcohol
AAM-34-16-00003-P	.... 08/24/17	Firewood (all hardwood species), nursery stock, logs, green lumber, stumps, roots, branches and debris of half an inch or more	To modify the ALB quarantine to prevent the further spread of the beetle and to modify the list of regulated articles
AAM-35-16-00017-P	.... 08/31/17	Program rules for New York State Grown & Certified.	Inform interested parties of the program, its purpose, participation requirements, qualifying product & rules of participation.
ALCOHOLISM AND SUBSTANCE ABUSE SERVICES, OFFICE OF			
ASA-34-16-00001-P	.... 08/24/17	Repeal of obsolete rules: General provisions; HIV-AIDS; Inpatient programs; Funding for services; Hearings; Authorizing MDs	To repeal obsolete rules of DSAS/DAAA and the Office
ATHLETIC COMMISSION, NEW YORK STATE			
ATH-28-16-00018-P	.... 07/13/17	Conduct and regulation of authorized combative sports	To implement the provisions of ch. 32 of the Laws of 2016, effective September 1, 2016, authorizing certain combative sports
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-23-16-00004-EP	.... 06/08/17	Requirements regarding the cooperation of school districts with investigations of suspected child abuse or maltreatment	To clarify requirements for the cooperation of school districts with investigations of suspected child abuse or maltreatment

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-24-16-00001-P	.... 06/15/17	Child care for children experiencing homelessness.	To reduce barriers for children experiencing homelessness to receive child care assistance and to attend child care.
CFS-30-16-00001-EP	.... 07/27/17	Child Day Care Safety Enforcement and Administrative Hearing Regulations	Amends child day care safety regulations and administrative hearing regulations pertaining to child day care safety enforcement
CIVIL SERVICE, DEPARTMENT OF			
*CVS-34-15-00007-P	.... 08/25/16	Jurisdictional Classification	To classify a position in the exempt class and to classify a position in the non-competitive class
*CVS-34-15-00009-P	.... 08/25/16	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
*CVS-34-15-00010-P	.... 08/25/16	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-36-15-00001-P	.... 09/08/16	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-36-15-00006-P	.... 09/08/16	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-36-15-00007-P	.... 09/08/16	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-44-15-00006-P	.... 11/03/16	Jurisdictional Classification	To classify positions in the exempt class
CVS-44-15-00008-P	.... 11/03/16	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-44-15-00010-P	.... 11/03/16	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-44-15-00012-P	.... 11/03/16	Jurisdictional Classification	To classify a subheading and positions in the non-competitive class
CVS-44-15-00014-P	.... 11/03/16	Jurisdictional Classification	To delete a position from and classify a position in the non-competitive class
CVS-44-15-00017-P	.... 11/03/16	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-44-15-00018-P	.... 11/03/16	Jurisdictional Classification	To classify positions in the exempt class and to classify a position from the non-competitive class
CVS-51-15-00002-P	.... 12/22/16	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-51-15-00003-P	.... 12/22/16	Jurisdictional Classification	To classify a position in the exempt class
CVS-02-16-00003-P	.... 01/12/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-02-16-00004-P	.... 01/12/17	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-02-16-00005-P	.... 01/12/17	Jurisdictional Classification	To delete a position from and classify a position in the non-competitive class
CVS-02-16-00006-P	.... 01/12/17	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-07-16-00005-P	.... 02/16/17	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-07-16-00006-P	.... 02/16/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-07-16-00007-P	.... 02/16/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-07-16-00008-P	.... 02/16/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-07-16-00009-P	.... 02/16/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-07-16-00010-P	.... 02/16/17	Jurisdictional Classification	To delete a position from and to classify a position in the non-competitive class
CVS-11-16-00001-P	.... 03/16/17	Jurisdictional Classification	To delete positions from and classify positions in the exempt and non-competitive classes
CVS-11-16-00002-P	.... 03/16/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-11-16-00003-P	.... 03/16/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-14-16-00005-P	.... 04/06/17	Supplemental military leave benefits	To extend the availability of supplemental military leave benefits for certain New York State employees until December 31, 2016
CVS-15-16-00004-P	.... 04/13/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-15-16-00005-P	.... 04/13/17	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-15-16-00006-P	.... 04/13/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-15-16-00007-P	.... 04/13/17	Jurisdictional Classification	To delete positions from and classify positions in the exempt and non-competitive classes
CVS-15-16-00008-P	.... 04/13/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-20-16-00005-P	.... 05/18/17	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-20-16-00006-P	.... 05/18/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-26-16-00003-P	.... 06/29/17	Jurisdictional Classification	To classify positions in the exempt class and to delete positions from the non-competitive class
CVS-26-16-00004-P	.... 06/29/17	Jurisdictional Classification	To classify a position in the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-26-16-00005-P	06/29/17	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-26-16-00006-P	06/29/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-26-16-00007-P	06/29/17	Jurisdictional Classification	To classify positions in the non-competitive classes
CVS-26-16-00008-P	06/29/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-26-16-00009-P	06/29/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-26-16-00010-P	06/29/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-26-16-00011-P	06/29/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-29-16-00001-P	07/20/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-29-16-00002-P	07/20/17	Jurisdictional Classification	To delete subheading & positions from; to add heading, subheading & positions in exempt and non-competitive classes
CVS-29-16-00003-P	07/20/17	Jurisdictional Classification	To delete positions from the exempt and non-competitive classes
CVS-29-16-00004-P	07/20/17	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-29-16-00005-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-29-16-00006-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-29-16-00007-P	07/20/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-29-16-00008-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class and to delete a position from the non-competitive class
CVS-29-16-00009-P	07/20/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-29-16-00010-P	07/20/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-29-16-00011-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-29-16-00012-P	07/20/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-29-16-00013-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-29-16-00014-P	07/20/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-29-16-00015-P	07/20/17	Jurisdictional Classification	To delete positions from the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action

CIVIL SERVICE, DEPARTMENT OF

CVS-29-16-00016-P	.... 07/20/17	Jurisdictional Classification	To delete positions from the exempt and non-competitive classes
CVS-29-16-00017-P	.... 07/20/17	Jurisdictional Classification	To classify a position in the exempt class and to delete a position from the non-competitive class
CVS-29-16-00018-P	.... 07/20/17	Jurisdictional Classification	To delete subheading & positions from; to add heading, subheading & positions in exempt and non-competitive classes
CVS-35-16-00004-P	.... 08/31/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-35-16-00005-P	.... 08/31/17	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class.
CVS-35-16-00006-P	.... 08/31/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-35-16-00007-P	.... 08/31/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-35-16-00008-P	.... 08/31/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-35-16-00009-P	.... 08/31/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-35-16-00010-P	.... 08/31/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-35-16-00011-P	.... 08/31/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-35-16-00012-P	.... 08/31/17	Jurisdictional Classification	To classify a position in the exempt class

COMMISSIONER OF PILOTS, BOARD OF

COP-31-16-00005-P	.... exempt	Supplementary fees--Hudson River	Assess supplementary fees for pilotage on the Hudson River

CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF

CCS-35-15-00018-P	.... 09/01/16	Applicability of Title and Definitions	Update the Department name and add new definitions
CCS-24-16-00006-P	.... 06/15/17	Department Records	Update Department name and address, update who appoints records access officer, and adds Regional Directors as custodians.

CRIMINAL JUSTICE SERVICES, DIVISION OF

CJS-09-16-00002-P	.... 03/02/17	Central Registry of Police Officers and Peace Officers	To consolidate the police officer and peace officer registries; and to clarify the reporting requirements
CJS-25-16-00004-P	.... 06/22/17	Handling of Ignition Interlock Cases Involving Certain Criminal Offenders.	To promote public/traffic safety, offender accountability and quality assurance through the establishment of minimum standards.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-04-16-00004-RP	.... 02/25/17	Procedures for State-level review of impartial hearing officer determinations regarding services for students with disabilities.	To revise the procedures for appealing impartial hearing officer decisions to a State review officer.
EDU-06-16-00004-P	.... 02/09/17	School counseling, certification requirements for school counselors and the school counselor program registration requirements.	To implement policy enacted by the Board of Regents to enhance existing public school district guidance programs to require comprehensive developmental counseling programs for all students in grades prekindergarten through 12 by certified school counselors
EDU-10-16-00018-P	.... 03/09/17	Dental Anesthesia Certification Requirements for Licensed Dentists	To conform regulations to the current practice of dental anesthesia administration
EDU-18-16-00004-P	.... 05/04/17	To authorize NY Higher Education Institutions to participate in SARA and approve out-of-state institutions for distance learning	To set forth requirements for authorization of NYS higher education institutions to participate in State Authorization Reciprocity Agreement (SARA)
EDU-22-16-00006-EP	.... 06/01/17	Teacher certification in career and technical education	Establishes a new pathway for Transitional A certificate
EDU-22-16-00008-EP	.... 06/01/17	Licensure of Occupational Therapy Assistants (OTAs)	To define the practice of OTAs, establish requirements for licensure, and alter the composition of the State Board
EDU-26-16-00015-EP	.... 06/29/17	Annual Professional Performance Reviews (APPR) of classroom teachers and building principals	Technical Amendments
EDU-26-16-00016-EP	.... 06/29/17	Teacher certification in career and technical education	Establishes new pathways for Transitional A certificate
EDU-26-16-00017-P	.... 06/29/17	Licensure of Perfusionists	To establish licensure requirements for perfusionists, including education, experience and examination
EDU-26-16-00018-P	.... 06/29/17	Regulation of consent orders in disciplinary proceedings in the professions	To remove requirement that the State Board of Pharmacy Executive Secretary agree to consent orders for pharmacists/pharmacies
EDU-27-16-00002-EP	.... 07/06/17	Superintendent determination as to academic proficiency for certain students with disabilities to graduate with a local diploma	To expand the safety net options for students with disabilities to graduate with local diplomas when certain conditions are met
EDU-27-16-00003-EP	.... 07/06/17	Annual Professional Performance Reviews (APPR) of classroom teachers and building principals	To provide hardship Waiver from Independent Evaluator Requirement
EDU-27-16-00004-EP	.... 07/06/17	Social Studies examination requirements for a high school diploma	To shift the requirement for students to take and pass the new Regents examination in Global History and Geography II for graduation for an additional year
EDU-27-16-00005-EP	.... 07/06/17	District-wide school safety plans and building-level emergency response plans	The purpose of the proposed rule is to implement the provisions of Part B of Chapter 54 of the Laws of 2016
EDU-32-16-00002-EP	.... 08/10/17	Community school grants	To implement Chapter 53 of the Laws of 2016 by establishing the criteria for community school grants

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
ELECTIONS, STATE BOARD OF			
SBE-17-16-00009-P	.... 04/27/17	Routine testing of voting systems	To provide for testing of voting machines not less than once per year
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
*ENV-34-15-00028-P	.... 08/25/16	Qualifications for License Issuing Agents and Wildlife Rehabilitators	To remove regulatory requirements that exclude individuals with felonies from obtaining certain licenses and authorizations
ENV-45-15-00028-P	.... 11/09/16	Science-based State sea-level rise projections	To establish a common source of sea-level rise projections for consideration in relevant programs and decision-making
ENV-51-15-00004-P	.... 02/10/17	Distributed generation (DG) sources that feed the distribution grid or produce electricity for use at host facilities or both	Establish emission limits for distributed generation sources
ENV-51-15-00005-P	.... 12/22/16	Big bore air rifles	To allow big bore air rifles as legal implements for hunting big game
ENV-52-15-00010-P	.... 12/29/16	Procedures for modifying or extinguishing a conservation easement held by the NYS DEC	Establish standards for the DEC to follow when modifying or extinguishing a CE and provide for a formal public review process
ENV-11-16-00004-P	.... 06/07/17	Solid Waste Management Regulations	Amend the rules that implement the solid waste program in New York State to incorporate changes in law and technology
ENV-19-16-00002-P	.... 05/11/17	The management of menhaden	To add menhaden and the menhaden trip limit to Table B - Commercial Fishing of 6 NYCRR subdivision 40.1(i)
ENV-19-16-00006-EP	.... 06/30/17	Chemical Bulk Storage (CBS)	To amend Part 597 of the CBS regulations
ENV-23-16-00001-EP	.... 06/21/17	Peekamoose Valley Riparian Corridor	Protect public health, safety and general welfare, as well as the natural resources on the Peekamoose Valley Riparian Corridor
ENV-25-16-00007-P	.... 08/08/17	Low emission vehicle (LEV) III and zero emission vehicle (ZEV) emission standards.	To incorporate revisions to California's LEV III and ZEV standards.
ENV-26-16-00002-P	.... 06/29/17	To amend 6 NYCRR Part 40 pertaining to recreational party and charter boat regulations for striped bass	To allow filleting of striped bass aboard party and charter boats
ENV-26-16-00013-P	.... 06/29/17	Rule making to implement ECL 17-0826-a	To implement the reporting, notification and record keeping requirements of ECL 17-0826-a
ENV-28-16-00002-EP	.... 07/13/17	Regulations governing the recreational harvest of black sea bass	To reduce recreational black sea bass harvest in New York State
ENV-31-16-00003-P	.... 09/30/17	Waste Fuels	Update permit references, rule citations, monitoring, record keeping, reporting requirements, and incorporate federal standards
ENV-35-16-00013-P	.... 08/31/17	Lower Salmon River State Forest	To protect public safety and natural resources on the Lower Salmon River State Forest

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
FINANCIAL SERVICES, DEPARTMENT OF			
DFS-03-16-00003-ERP	01/19/17	Standard financial aid award information sheet for institutions of higher education	Provides guidance to institutions of higher education for the implementation of a financial aid award information sheet
DFS-17-16-00003-P	exempt	Plan of Conversion by Commercial Travelers Mutual Insurance Company	To convert a mutual accident and health insurance company to a stock accident and health insurance company
DFS-24-16-00004-P	06/15/17	Financial statement filings and accounting practices and procedures	To update citations in Part 83 to the Accounting Practices and Procedures Manual as of March 2014 (instead of 2013).
DFS-29-16-00020-EP	07/20/17	Workers' Compensation Safe Patient Handling Program	To implement Part A of Chapter 60 of the Laws of 2014
GAMING COMMISSION, NEW YORK STATE			
SGC-39-15-00006-P	09/29/16	Reimbursement of awards for capital improvement projects at video lottery gaming (''VLG'') facilities	Clarify when VLG agent must reimburse State upon divestment of a capital improvement for which capital award was received
SGC-24-16-00007-P	06/15/17	Repeal of obsolete thoroughbred rule giving extra weight allowance for apprentice jockey riding for "original contract employer''	To preserve the safety and integrity of pari-mutuel racing while generating reasonable revenue for the support of government.
SGC-28-16-00006-P	07/13/17	Criteria and procedures for patron exclusion at a gaming facility	To establish criteria and procedures for patron exclusion at a gaming facility
SGC-28-16-00007-P	07/13/17	Definitions of terms used throughout Subchapter B, Casino Gaming	To define terms applicable to Subchapter B, Casino Gaming
SGC-28-16-00008-P	07/13/17	The regulation of table game equipment	To set forth the physical characteristics, inspection, use, storage and destruction of table game equipment
SGC-28-16-00009-P	07/13/17	The licensing and registration of junkets and junket enterprises	To govern the licensing and registration of junkets and junket enterprises
SGC-28-16-00010-P	07/13/17	The registration of labor organizations	To govern the registration of labor organizations
SGC-28-16-00012-P	07/13/17	The registration of lobbyists	To govern the registration of lobbyists
SGC-32-16-00001-P	08/10/17	The licensing and registration of gaming facility employees and vendors	To govern the licensing and registration of gaming facility employees and vendors
GENERAL SERVICES, OFFICE OF			
GNS-07-16-00013-P	02/16/17	Outdoor lighting standards	To provide lighting standards that will help state agencies comply with Public Buildings Law section 143
HEALTH, DEPARTMENT OF			
*HLT-14-94-00006-P	exempt	Payment methodology for HIV/AIDS outpatient services	To expand the current payment to incorporate pricing for services
*HLT-30-15-00005-RP	10/26/16	Practice of radiologic technology	To update regulations related to the practice of radiologic technology

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-39-15-00015-P	.... 09/29/16	Women Infants and Children (WIC) Program Vendor Applicant Enrollment Criteria	To align NYS WIC Program operations with current federal requirements by amending the existing vendor enrollment criteria
HLT-46-15-00006-P	.... 01/10/17	Early Intervention Program	To conform existing program regulations to federal regulations and state statute
HLT-06-16-00002-P	.... 02/09/17	Perinatal Services	To update the Breastfeeding Mother's Bill of Rights to conform with recommended standards of care
HLT-15-16-00016-P	.... 04/13/17	Zika Action Plan; Performance Standards.	To require local health departments to develop a Zika Action Plan as a condition of State Aid
HLT-16-16-00002-P	.... 04/20/17	NYS Medical Indemnity Fund	To provide additional guidance and clarity to the Fund's requirements and operations
HLT-21-16-00003-P	.... 05/25/17	New York State Newborn Screening Panel	To add adrenoleukodystrophy (ALD) and Pompe disease to the list of diseases and conditions on the newborn screening panel
HLT-24-16-00002-P	.... 06/15/17	Neurodegenerative Specialty Rate	To authorize Medicaid rate of payment for providing quality of care to the neurodegenerative population.
HLT-24-16-00003-RP	.... 06/15/17	Specialized Programs for Residents with Neurodegenerative Diseases	To establish nursing home specialty units for residents with Huntington's Disease (HD) & Amyotrophic Lateral Sclerosis (ALS).
HLT-35-16-00018-P	.... 08/31/17	All Payer Database (APD)	To define the parameters for operating the APD regarding mandatory data submission by healthcare payers as well as data release
LABOR, DEPARTMENT OF			
*LAB-21-15-00009-RP	.... 08/24/16	Methods of Payment of Wages	This regulation provides clarification and specification as to the permissible methods of payment, including payroll debit cards
LAB-03-16-00009-P	.... 01/19/17	Employer Imposed Limitations on the Inquiry, Discussion, and Disclosure of Wages	This regulation sets forth standards for limitations on inquiry, discussion, or the disclosure of wages amongst employees
LIQUOR AUTHORITY, STATE			
LQR-02-16-00002-P	.... 01/12/17	Update outdated Freedom of Information Law procedures utilized by Authority	To update Authority procedures and ensure compliance with Freedom of information Law requirements under Pub. Off. Law., art. 6
LQR-17-16-00002-P	.... 04/27/17	Updated price posting rules, license durations, and recordkeeping requirements, and rescinding of whiskey dividend rules	To update price posting rules, license durations, recordkeeping, and joint advertising rules for certain license types
LONG ISLAND POWER AUTHORITY			
*LPA-08-01-00003-P	.... exempt	Pole attachments and related matters	To approve revisions to the authority's tariff
*LPA-41-02-00005-P	.... exempt	Tariff for electric service	To revise the tariff for electric service

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
LONG ISLAND POWER AUTHORITY			
*LPA-04-06-00007-P	.... exempt	Tariff for electric service	To adopt provisions of a ratepayer protection plan
*LPA-03-10-00004-P	.... exempt	Residential late payment charges	To extend the application of late payment charges to residential customers
LPA-19-16-00015-P	.... exempt	Customer requests for rehearings of LIPA's decisions on appeals and shared meter determinations	To transfer certain responsibilities regarding handling of customer petitions to DPS Long Island
LPA-20-16-00001-P	.... exempt	Proposed Feed-in Tariffs for new commercial solar and fuel cell generation	To authorize development of up to 20MW of new solar generation and 40MW of new fuel cell generation through feed-in tariffs
MOTOR VEHICLES, DEPARTMENT OF			
MTV-27-16-00001-P	.... 07/06/17	Certified examiners	To clarify and strengthen guidelines regarding certified examiners
MTV-27-16-00008-P	.... 07/06/17	Driving schools	Makes technical and clarifying amendments to improve consumer rotection & increases Department effeciency
MTV-28-16-00003-P	.... 07/13/17	Fees charged for the Impaired Driving Program course	To increase the fee for the Impaired Driving Program course, so that $20 may be directed to curriculum development
MTV-35-16-00003-P	.... 08/31/17	Notices of hearing	Provides for mailing by first class mail for most DMV hearings
NIAGARA FALLS WATER BOARD			
*NFW-04-13-00004-EP	.... exempt	Adoption of Rates, Fees and Charges	To pay for the increased costs necessary to operate, maintain and manage the system, and to achieve covenants with bondholders
*NFW-13-14-00006-EP	.... exempt	Adoption of Rates, Fees and Charges	To pay for increased costs necessary to operate, maintain and manage the system and to achieve covenants with the bondholders
PARKS, RECREATION AND HISTORIC PRESERVATION, OFFICE OF			
PKR-28-16-00004-P	.... 07/13/17	Criteria enabling municipal law enforcement agencies to receive state aid for snowmobile enforcement duties	To promote local snowmobile enforcement by easing restrictions on state aid eligibility
PKR-30-16-00010-P	.... 07/27/17	Updated list of facilities within the jurisdiction of the Office of Parks, Recreation and Historic Preservation	To keep accurate the list of facilities within the jurisdiction of the Office of Parks, Recreation and Historic Preservation
PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR			
PDD-48-15-00003-P	.... 12/01/16	Agency Name Change and Terminology Updates	To update the agency name and other terminology in the Title 14 NYCRR Part 600 series

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
POWER AUTHORITY OF THE STATE OF NEW YORK			
*PAS-01-10-00010-P	exempt	Rates for the sale of power and energy	Update ECSB Programs customers' service tariffs to streamline them/include additional required information
PUBLIC SERVICE COMMISSION			
*PSC-28-97-00032-P	exempt	General service by Central Hudson Gas & Electric Corporation	To limit certain special provisions
*PSC-34-97-00009-P	exempt	Collection agency fees by Consolidated Edison Company of New York, Inc.	To pass collection agency fees on to the customer
*PSC-04-98-00015-P	exempt	Interconnection service overcharges by Niagara Mohawk Power Corporation	To consider a complaint by Azure Mountain Power Co.
*PSC-19-98-00008-P	exempt	Call forwarding by CPU Industries Inc./MKL Net, et al.	To rehear the petition
*PSC-02-99-00006-EP	exempt	Intralata freeze plan by New York Telephone Company	To approve the plan
*PSC-09-99-00012-P	exempt	Transfer of books and records by Citizens Utilities Company	To relocate Ogden Telephone Company's books and records out-of-state
*PSC-15-99-00011-P	exempt	Electronic tariff by Woodcliff Park Corp.	To replace the company's current tariff with an electronic tariff
*PSC-50-99-00009-P	exempt	Retail access uniform business practices by The Brooklyn Union Gas Company and KeySpan Gas East Corporation d/b/a Brooklyn Union of Long Island	To approve a joint petition requesting a waiver extension of a requirement set forth in the commission's order
*PSC-52-99-00006-P	exempt	Wide area rate center calling	To implement number conservation measures
*PSC-12-00-00001-P	exempt	Winter bundled sales service election date by Central Hudson Gas & Electric Corporation	To revise the date
*PSC-14-00-00004-EP	exempt	NXX code in the 716 NPA by Broadview Networks	To assign an NXX code in Buffalo
*PSC-14-00-00026-P	exempt	Interconnection agreement between New York Telephone Company d/b/a Bell Atlantic-New York and Media Log, Inc.	To review the terms and conditions of the negotiated agreement
*PSC-14-00-00027-P	exempt	Interconnection agreement between New York Telephone Company d/b/a Bell Atlantic-New York and Pilgrim Telephone, Inc.	To review the terms and conditions of the negotiated agreement
*PSC-14-00-00029-P	exempt	Interconnection agreement between New York Telephone Company d/b/a Bell Atlantic-New York and CoreComm New York, Inc.	To review the terms and conditions of the negotiated agreement
*PSC-16-00-00012-P	exempt	Termination of local telecommunications traffic by Hyperion Communications of New York, Inc.	To determine appropriate compensation levels
*PSC-21-00-00007-P	exempt	Initial tariff schedule by Drew Road Association	To set forth the rates, charges, rules and regulations
*PSC-31-00-00026-P	exempt	Water service by Windover Water Works	To abandon the water system

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-33-00-00010-P	exempt	Electric rate and restructuring plan by Rochester Gas and Electric Corporation	To evaluate possible modifications
*PSC-36-00-00039-P	exempt	Steam increase by Consolidated Edison Company of New York, Inc.	To provide for an annual increase in the first year of a proposed four-year rate plan
*PSC-37-00-00001-EP	exempt	Interruptible gas customers	To ensure customers have an adequate supply of alternative fuel available
*PSC-39-00-00004-P	exempt	Blockable central office codes by PaeTec Communications, Inc.	To review the commission's requirements for assignment of numbering resources
*PSC-44-00-00014-P	exempt	Recovery of costs through adjustment mechanisms by Consolidated Edison Company of New York, Inc.	To permit the recovery of certain costs
*PSC-49-00-00007-P	exempt	Gas sales and purchases by Corning Natural Gas Corporation	To determine whether certain gas sales and purchases were in the public interest and whether customers should bear the resulting costs
*PSC-01-01-00023-P	exempt	Installation, maintenance and ownership of service laterals by Rochester Gas and Electric Corporation	To update and clarify the provisions
*PSC-06-01-00009-P	exempt	Uniform system of accounts by Rochester Gas and Electric Corporation	To defer an item of expense beyond the end of the year in which it was incurred
*PSC-13-01-00001-P	exempt	Request for accounting authorization by Rochester Gas and Electric Corporation	To defer an item of expense beyond the end of the year in which it was incurred
*PSC-13-01-00002-P	exempt	Request for accounting authorization by Rochester Gas and Electric Corporation	To defer an item of expense beyond the end of the year in which it was incurred
*PSC-13-01-00003-P	exempt	Request for accounting authorization by Rochester Gas and Electric Corporation	To defer an item of expense beyond the end of the year in which it was incurred
*PSC-15-01-00012-P	exempt	Transfer of a controlling leasehold interest by Huntley Power LLC	To approve the transfer
*PSC-22-01-00006-P	exempt	Con Edison's phase 4 plan for retail access by AES Energy, Inc.	To review the request for rehearing
*PSC-26-01-00012-P	exempt	Interconnection of networks between Sprint PCS and Verizon New York Inc.	To review the terms and conditions of the negotiated agreement
*PSC-36-01-00010-P	exempt	Competitive metering by eBidenergy.com	To clarify meter ownership rules and requirements
*PSC-44-01-00005-P	exempt	Annual reconciliation of gas costs by Corning Natural Gas Corporation	To authorize the company to include certain gas costs
*PSC-01-02-00007-P	exempt	Accounting and rate treatment of proceeds by Consolidated Edison Company of New York, Inc.	To consider proceeds from sale of nuclear generating facilities
*PSC-05-02-00005-P	exempt	Uniform system of accounts by Consolidated Edison Company of New York, Inc.	To defer expenditures incurred in connection with emergency response services affected by the World Trade Center disaster

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-06-02-00015-P	.... exempt	Network reliability performance mechanism by Consolidated Edison Company of New York, Inc.	To earn rewards for meeting the targets of the network reliability performance mechanism
*PSC-07-02-00032-P	.... exempt	Uniform business practices	To consider modification
*PSC-29-02-00014-P	.... exempt	Financing by Valley Energy, Inc.	To issue a note and allocate costs
*PSC-49-02-00021-P	.... exempt	Requests for lightened regulation by PSEG Power Bellport, LLC	To consider the company's request
*PSC-08-03-00009-P	.... exempt	Provision of gas service to World Kitchen Incorporated	To establish terms and conditions
*PSC-09-03-00012-P	.... exempt	Incremental service line installations by New York State Electric & Gas Corporation	To revise the current flat rate per foot charged
*PSC-09-03-00014-P	.... exempt	Deferral accounting by Consolidated Edison Company of New York, Inc. and Orange and Rockland Utilities, Inc.	To defer expense items beyond the end of the year(s) in which they were incurred
*PSC-11-03-00012-P	.... exempt	Economic development plan by New York State Electric & Gas Corporation	To consider the plan
*PSC-18-03-00004-P	.... exempt	Lightened regulation by East Hampton Power and Light Corporation (EHPLC)	To provide for lightened regulation and grant financing approval
*PSC-22-03-00020-P	.... exempt	Inter-departmental gas pricing by Consolidated Edison Company of New York, Inc.	To revise the method used in steam and steam-electric generating stations
*PSC-32-03-00020-P	.... exempt	Issuance of debt and approval of surcharge by Rainbow Water Company	To approve necessary financing
*PSC-34-03-00019-P	.... exempt	Issuance of securities by KeySpan East Corporation d/b/a KeySpan Energy Delivery Long Island	To obtain authorization to issue securities
*PSC-35-03-00009-P	.... exempt	Interconnection agreement between Verizon New York Inc. and MCIMetro Access Transmission Services LLC	To amend the agreement
*PSC-36-03-00010-P	.... exempt	Performance assurance plan by Verizon New York	To consider changes
*PSC-39-03-00013-P	.... exempt	Complaint by State University of New York (SUNY) regarding a NYSEG operating agreement	To consider the complaint
*PSC-40-03-00015-P	.... exempt	Receipt of payment of bills by St. Lawrence Gas Company	To revise the process
*PSC-41-03-00008-P	.... exempt	Lightened regulation by Sterling Power Partners, L.P.	To consider granting lightened regulation
*PSC-41-03-00010-P	.... exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-41-03-00011-P	.... exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-42-03-00005-P	exempt	Interest rate by the Bath Electric, Gas, and Water Systems	To use an alternate interest rate
*PSC-43-03-00036-P	exempt	Merchant function backout credit and transition balancing account by KeySpan Gas East Corporation	To continue the credit and account until May 31, 2005
*PSC-43-03-00037-P	exempt	Merchant function backout credit and transition balancing account by The Brooklyn Union Gas Company	To continue the credit and account until May 31, 2005
*PSC-44-03-00009-P	exempt	Retail access data between jurisdictional utilities	To accommodate changes in retail access market structure or commission mandates
*PSC-47-03-00024-P	exempt	Lightened regulation and financing approval by Medford Energy LLC	To consider the requests
*PSC-02-04-00008-P	exempt	Delivery rates for Con Edison's customers in New York City and Westchester County by the City of New York	To rehear the Nov. 25, 2003 order
*PSC-06-04-00009-P	exempt	Transfer of ownership interest by SCS Energy LLC and AE Investors LLC	To transfer interest in Steinway Creek Electric Generating Company LLC to AE Investors LLC
*PSC-10-04-00005-P	exempt	Temporary protective order	To consider adopting a protective order
*PSC-10-04-00008-P	exempt	Interconnection agreement between Verizon New York Inc. and VIC-RMTS-DC, L.L.C. d/b/a Verizon Avenue	To amend the agreement
*PSC-14-04-00008-P	exempt	Submetering of natural gas service to industrial and commercial customers by Hamburg Fairgrounds	To submeter gas service to commercial customers located at the Buffalo Speedway
*PSC-15-04-00022-P	exempt	Submetering of electricity by Glenn Gardens Associates, L.P.	To permit submetering at 175 W. 87th St., New York, NY
*PSC-21-04-00013-P	exempt	Verizon performance assurance plan by Metropolitan Telecommunications	To clarify the appropriate performance level
*PSC-22-04-00010-P	exempt	Approval of new types of electricity meters by Powell Power Electric Company	To permit the use of the PE-1250 electronic meter
*PSC-22-04-00013-P	exempt	Major gas rate increase by Consolidated Edison Company of New York, Inc.	To increase annual gas revenues
*PSC-22-04-00016-P	exempt	Master metering of water by South Liberty Corporation	To waive the requirement for installation of separate water meters
*PSC-25-04-00012-P	exempt	Interconnection agreement between Frontier Communications of Ausable Valley, Inc., et al. and Sprint Communications Company, L.P.	To amend the agreement
*PSC-27-04-00008-P	exempt	Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates	To amend the agreement
*PSC-27-04-00009-P	exempt	Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates	To amend the agreement

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-28-04-00006-P	exempt	Approval of loans by Dunkirk & Fredonia Telephone Company and Cassadaga Telephone Corporation	To authorize participation in the parent corporation's line of credit
*PSC-31-04-00023-P	exempt	Distributed generation service by Consolidated Edison Company of New York, Inc.	To provide an application form
*PSC-34-04-00031-P	exempt	Flat rate residential service by Emerald Green Lake Louise Marie Water Company, Inc.	To set appropriate level of permanent rates
*PSC-35-04-00017-P	exempt	Application form for distributed generation by Orange and Rockland Utilities, Inc.	To establish a new supplementary application form for customers
*PSC-43-04-00016-P	exempt	Accounts recievable by Rochester Gas and Electric Corporation	To include in its tariff provisions for the purchase of ESCO accounts recievable
*PSC-46-04-00012-P	exempt	Service application form by Consolidated Edison Company of New York, Inc.	To revise the form and make housekeeping changes
*PSC-46-04-00013-P	exempt	Rules and guidelines governing installation of metering equipment	To establish uniform statewide business practices
*PSC-02-05-00006-P	exempt	Violation of the July 22, 2004 order by Dutchess Estates Water Company, Inc.	To consider imposing remedial actions against the company and its owners, officers and directors
*PSC-09-05-00009-P	exempt	Submetering of natural gas service by Hamlet on Olde Oyster Bay	To consider submetering of natural gas to a commercial customer
*PSC-14-05-00006-P	exempt	Request for deferred accounting authorization by Freeport Electric Inc.	To defer expenses beyond the end of the fiscal year
*PSC-18-05-00009-P	exempt	Marketer Assignment Program by Consolidated Edison Company of New York, Inc.	To implement the program
*PSC-20-05-00028-P	exempt	Delivery point aggregation fee by Allied Frozen Storage, Inc.	To review the calculation of the fee
*PSC-25-05-00011-P	exempt	Metering, balancing and cashout provisions by Central Hudson Gas & Electric Corporation	To establish provisions for gas customers taking service under Service Classification Nos. 8, 9 and 11
*PSC-27-05-00018-P	exempt	Annual reconciliation of gas costs by New York State Electric & Gas Corporation	To consider the manner in which the gas cost incentive mechanism has been applied
*PSC-41-05-00013-P	exempt	Annual reconciliation of gas expenses and gas cost recoveries by local distribution companies and municipalities	To consider the filings
*PSC-45-05-00011-P	exempt	Treatment of lost and unaccounted gas costs by Corning Natural Gas Corporation	To defer certain costs
*PSC-46-05-00015-P	exempt	Sale of real and personal property by the Brooklyn Union Gas Company d/b/a KeySpan Energy Delivery New York and Steel Arrow, LLC	To consider the sale
*PSC-47-05-00009-P	exempt	Transferral of gas supplies by Corning Natural Gas Corporation	To approve the transfer

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PUBLIC SERVICE COMMISSION			
*PSC-50-05-00008-P	exempt	Long-term debt by Saratoga Glen Hollow Water Supply Corp.	To obtain long-term debt
*PSC-04-06-00024-P	exempt	Transfer of ownership interests by Mirant NY-Gen LLC and Orange and Rockland Utilities, Inc.	To approve of the transfer
*PSC-06-06-00015-P	exempt	Gas curtailment policies and procedures	To examine the manner and extent to which gas curtailment policies and procedures should be modified and/or established
*PSC-07-06-00009-P	exempt	Modification of the current Environmental Disclosure Program	To include an attributes accounting system
*PSC-22-06-00019-P	exempt	Hourly pricing by National Grid	To assess the impacts
*PSC-22-06-00020-P	exempt	Hourly pricing by New York State Electric & Gas Corporation	To assess the impacts
*PSC-22-06-00021-P	exempt	Hourly pricing by Rochester Gas & Electric Corporation	To assess the impacts
*PSC-22-06-00022-P	exempt	Hourly pricing by Consolidated Edison Company of New York, Inc.	To assess the impacts
*PSC-22-06-00023-P	exempt	Hourly pricing by Orange and Rockland Utilities, Inc.	To assess the impacts
*PSC-24-06-00005-EP	exempt	Supplemental home energy assistance benefits	To extend the deadline to Central Hudson's low-income customers
*PSC-25-06-00017-P	exempt	Purchased power adjustment by Massena Electric Department	To revise the method of calculating the purchased power adjustment and update the factor of adjustment
*PSC-34-06-00009-P	exempt	Inter-carrier telephone service quality standards and metrics by the Carrier Working Group	To incorporate appropriate modifications
*PSC-37-06-00015-P	exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures
*PSC-37-06-00017-P	exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures
*PSC-39-06-00018-P	exempt	Order establishing rate plan by Central Hudson Gas & Electric Corporation and the Consumer Protection Board	To consider the petitions for rehearing
*PSC-39-06-00019-P	exempt	Investigation of Richard M. Osborne by Corning Natural Gas Corporation	To determine the interests, plans and commitments that will be in place if he is successful in blocking the merger of Corning Gas and C&T Enterprises
*PSC-39-06-00022-P	exempt	Uniform business practices and related matters by U.S. Energy Savings Corporation	To establish a contest period
*PSC-40-06-00005-P	exempt	Orion Integral automatic meter reading transmitter by New York State Electric and Gas Corporation	To permit gas utilities in NYS to use the Badger Meter Incorporated Orion Integral transmitters

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-42-06-00011-P	exempt	Submetering of electricity by 225 5th LLC	To submeter electricity at 255 Fifth Ave., New York, NY
*PSC-43-06-00014-P	exempt	Electric delivery services by Strategic Power Management, Inc.	To determine the proper mechanism for the rate-recovery of costs
*PSC-44-06-00014-P	exempt	Electric power outages in Northwest Queens by Consolidated Edison Company of New York, Inc.	To review the terms and conditions of the agreement
*PSC-45-06-00007-P	exempt	Alleged failure to provide electricity by Robert Andrews	To assess validity of allegations and appropriateness of fines
*PSC-01-07-00031-P	exempt	Enforcement mechanisms by National Fuel Gas Distribution Corporation	To modify enforcement mechanisms
*PSC-04-07-00012-P	exempt	Petition for rehearing by Orange and Rockland Utilities, Inc.	To clarify the order
*PSC-06-07-00015-P	exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for electric service
*PSC-06-07-00020-P	exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for gas service
*PSC-11-07-00010-P	exempt	Investigation of the electric power outages by the Consolidated Edison Company of New York, Inc.	To implement the recommendations in the staff's investigation
*PSC-11-07-00011-P	exempt	Storm-related power outages by Consolidated Edison Company of New York, Inc.	To modify the company's response to power outages, the timing for any such changes and other related matters
*PSC-17-07-00008-P	exempt	Interconnection agreement between Verizon New York Inc. and BridgeCom International, Inc.	To amend the agreement
*PSC-18-07-00010-P	exempt	Existing electric generating stations by Independent Power Producers of New York, Inc.	To repower and upgrade existing electric generating stations owned by Rochester Gas and Electric Corporation
*PSC-20-07-00016-P	exempt	Tariff revisions and making rates permanent by New York State Electric & Gas Corporation	To seek rehearing
*PSC-21-07-00007-P	exempt	Natural Gas Supply and Acquisition Plan by Corning Natural Gas Corporation	To revise the rates, charges, rules and regulations for gas service
*PSC-22-07-00015-P	exempt	Demand Side Management Program by Consolidated Edison Company of New York, Inc.	To recover incremental program costs and lost revenue
*PSC-23-07-00022-P	exempt	Supplier, transportation, balancing and aggregation service by National Fuel Gas Distribution Corporation	To explicitly state in the company's tariff that the threshold level of elective upstream transmission capacity is a maximum of 112,600 Dth/day of marketer-provided upstream capacity
*PSC-24-07-00012-P	exempt	Gas Efficiency Program by the City of New York	To consider rehearing a decision establishing a Gas Efficiency Program

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PUBLIC SERVICE COMMISSION			
*PSC-39-07-00017-P	.... exempt	Gas bill issuance charge by New York State Electric & Gas Corporation	To create a gas bill issuance charge unbundled from delivery rates
*PSC-41-07-00009-P	.... exempt	Submetering of electricity rehearing	To seek reversal
*PSC-42-07-00012-P	.... exempt	Energy efficiency program by Orange and Rockland Utilities, Inc.	To consider any energy efficiency program for Orange and Rockland Utilities, Inc.'s electric service
*PSC-42-07-00013-P	.... exempt	Revenue decoupling by Orange and Rockland Utilities, Inc.	To consider a revenue decoupling mechanism for Orange and Rockland Utilities, Inc.
*PSC-45-07-00005-P	.... exempt	Customer incentive programs by Orange and Rockland Utilities, Inc.	To establish a tariff provision
*PSC-02-08-00006-P	.... exempt	Additional central office codes in the 315 area code region	To consider options for making additional codes
*PSC-03-08-00006-P	.... exempt	Rehearing of the accounting determinations	To grant or deny a petition for rehearing of the accounting determinations
*PSC-04-08-00010-P	.... exempt	Granting of easement rights on utility property by Central Hudson Gas & Electric Corporation	To grant easement rights to Millennium Pipeline Company, L.L.C.
*PSC-04-08-00012-P	.... exempt	Marketing practices of energy service companies by the Consumer Protection Board and New York City Department of Consumer Affairs	To consider modifying the commission's regulation over marketing practices of energy service companies
*PSC-08-08-00016-P	.... exempt	Transfer of ownership by Entergy Nuclear Fitzpatrick LLC, et al.	To consider the transfer
*PSC-12-08-00019-P	.... exempt	Extend the provisions of the existing electric rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-12-08-00021-P	.... exempt	Extend the provisions of the existing gas rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-13-08-00011-P	.... exempt	Waiver of commission policy and NYSEG tariff by Turner Engineering, PC	To grant or deny Turner's petition
*PSC-13-08-00012-P	.... exempt	Voltage drops by New York State Electric & Gas Corporation	To grant or deny the petition
*PSC-23-08-00008-P	.... exempt	Petition requesting rehearing and clarification of the commission's April 25, 2008 order denying petition of public utility law project	To consider whether to grant or deny, in whole or in part, the May 7, 2008 Public Utility Law Project (PULP) petition for rehearing and clarification of the commission's April 25, 2008 order denying petition of Public Utility Law Project
*PSC-23-08-00009-P	.... exempt	The transfer of certain real property with an original cost under $100,000 in the Town of Throop	To consider the filing for the transfer of certain real property in the Town of Throop
*PSC-25-08-00007-P	.... exempt	Policies and procedures regarding the selection of regulatory proposals to meet reliability needs	To establish policies and procedures regarding the selection of regulatory proposals to meet reliability needs

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-25-08-00008-P	.... exempt	Report on Callable Load Opportunities	Rider U report assessing callable load opportunities in New York City and Westchester County during the next 10 years
*PSC-28-08-00004-P	.... exempt	Con Edison's procedure for providing customers access to their account information	To consider Con Edison's implementation plan and timetable for providing customers access to their account information
*PSC-31-08-00025-P	.... exempt	Recovery of reasonable DRS costs from the cost mitigation reserve (CMR)	To authorize recovery of the DRS costs from the CMR
*PSC-32-08-00009-P	.... exempt	The ESCO referral program for KEDNY to be implemented by October 1, 2008	To approve, reject or modify, in whole or in part, KEDNY's recommended ESCO referral program
*PSC-33-08-00008-P	.... exempt	Noble Allegany's request for lightened regulation	To consider Noble Allegany's request for lightened regulation as an electric corporation
*PSC-36-08-00019-P	.... exempt	Land Transfer in the Borough of Manhattan, New York	To consider petition for transfer of real property to NYPH
*PSC-39-08-00010-P	.... exempt	RG&E's economic development plan and tariffs	Consideration of the approval of RG&E's economic development plan and tariffs
*PSC-40-08-00010-P	.... exempt	Loans from regulated company to its parent	To determine if the cash management program resulting in loans to the parent should be approved
*PSC-41-08-00009-P	.... exempt	Transfer of control of cable TV franchise	To determine if the transfer of control of Margaretville's cable TV subsidiary should be approved
*PSC-43-08-00014-P	.... exempt	Annual Reconcilliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-46-08-00008-P	.... exempt	Property transfer in the Village of Avon, New York	To consider a petition for the transfer of street lighting and attached equipment to the Village of Avon, New York
*PSC-46-08-00010-P	.... exempt	A transfer of indirect ownership interests in nuclear generation facilities	Consideration of approval of a transfer of indirect ownership interests in nuclear generation facilities
*PSC-46-08-00014-P	.... exempt	The attachment of cellular antennae to an electric transmission tower	To approve, reject or modify the request for permission to attach cellular antennae to an electric transmission tower
*PSC-48-08-00005-P	.... exempt	A National Grid high efficiency gas heating equipment rebate program	To expand eligibility to customers converting from oil to natural gas
*PSC-48-08-00008-P	.... exempt	Petition for the master metering and submetering of electricity	To consider the request of Bay City Metering, to master meter & submeter electricity at 345 E. 81st St., New York, New York
*PSC-48-08-00009-P	.... exempt	Petition for the submetering of electricity	To consider the request of PCV/ST to submeter electricity at Peter Cooper Village & Stuyvesant Town, New York, New York
*PSC-50-08-00018-P	.... exempt	Market Supply Charge	A study on the implementation of a revised Market Supply Charge

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-51-08-00006-P	.... exempt	Commission's October 27, 2008 Order on Future of Retail Access Programs in Case 07-M-0458	To consider a Petition for rehearing of the Commission's October 27, 2008 Order in Case 07-M-0458
*PSC-51-08-00007-P	.... exempt	Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078	To consider Petitions for rehearing of the Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078
*PSC-53-08-00011-P	.... exempt	Use of deferred Rural Telephone Bank funds	To determine if the purchase of a softswitch by Hancock is an appropriate use of deferred Rural Telephone Bank funds
*PSC-53-08-00012-P	.... exempt	Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY	Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY
*PSC-53-08-00013-P	.... exempt	To transfer common stock and ownership	To consider transfer of common stock and ownership
*PSC-01-09-00015-P	.... exempt	FCC decision to redefine service area of Citizens/Frontier	Review and consider FCC proposed redefinition of Citizens/Frontier service area
*PSC-02-09-00010-P	.... exempt	Competitive classification of independent local exchange company, and regulatory relief appropriate thereto	To determine if Chazy & Westport Telephone Corporation more appropriately belongs in scenario 1 rather than scenario 2
*PSC-05-09-00008-P	.... exempt	Revenue allocation, rate design, performance metrics, and other non-revenue requirement issues	To consider any remaining non-revenue requirement issues related to the Company's May 9, 2008 tariff filing
*PSC-05-09-00009-P	.... exempt	Numerous decisions involving the steam system including cost allocation, energy efficiency and capital projects	To consider the long term impacts on steam rates and on public policy of various options concerning the steam system
*PSC-06-09-00007-P	.... exempt	Interconnection of the networks between Frontier Comm. and WVT Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier Comm. and WVT Comm.
*PSC-07-09-00015-P	.... exempt	Transfer certain utility assets located in the Town of Montgomery from plant held for future use to non-utility property	To consider the request to transfer certain utility assets located in the Town of Montgomery to non-utility assets
*PSC-07-09-00017-P	.... exempt	Request for authorization to defer the incremental costs incurred in the restoration work resulting from the ice storm	To allow the company to defer the incremental costs incurred in the restoration work resulting from the ice storm
*PSC-07-09-00018-P	.... exempt	Whether to permit the submetering of natural gas service to an industrial and commercial customer at Cooper Union, New York, NY	To consider the request of Cooper Union, to submeter natural gas at 41 Cooper Square, New York, New York
*PSC-12-09-00010-P	.... exempt	Charges for commodity	To charge customers for commodity costs
*PSC-12-09-00012-P	.... exempt	Charges for commodity	To charge customers for commodity costs
*PSC-13-09-00008-P	.... exempt	Options for making additional central office codes available in the 718/347 numbering plan area	To consider options for making additional central office codes available in the 718/347 numbering plan area
*PSC-14-09-00014-P	.... exempt	The regulation of revenue requirements for municipal utilities by the Public Service Commission	To determine whether the regulation of revenue requirements for municipal utilities should be modified

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-16-09-00010-P	.... exempt	Petition for the submetering of electricity	To consider the request of AMPS on behalf of Park Imperial to submeter electricity at 230 W. 56th Street, in New York, New York
*PSC-16-09-00020-P	.... exempt	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity
*PSC-17-09-00010-P	.... exempt	Whether to permit the use of Elster REX2 solid state electric meter for use in residential and commerical accounts	To permit electric utilities in New York State to use the Elster REX2
*PSC-17-09-00011-P	.... exempt	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes
*PSC-17-09-00012-P	.... exempt	Petition for the submetering of gas at commercial property	To consider the request of Turner Construction, to submeter natural gas at 550 Short Ave., & 10 South St., Governors Island, NY
*PSC-17-09-00014-P	.... exempt	Benefit-cost framework for evaluating AMI programs prepared by the DPS Staff	To consider a benefit-cost framework for evaluating AMI programs prepared by the DPS Staff
*PSC-17-09-00015-P	.... exempt	The construction of a tower for wireless antennas on land owned by National Grid	To approve, reject or modify the petition to build a tower for wireless antennas in the Town of Onondaga
*PSC-18-09-00012-P	.... exempt	Petition for rehearing of Order approving the submetering of electricity	To consider the request of Frank Signore to rehear petition to submeter electricity at One City Place in White Plains, New York
*PSC-18-09-00013-P	.... exempt	Petition for the submetering of electricity	To consider the request of Living Opportunities of DePaul to submeter electricity at E. Main St. located in Batavia, New York
*PSC-18-09-00017-P	.... exempt	Approval of an arrangement for attachment of wireless antennas to the utility's transmission facilities in the City of Yonkers	To approve, reject or modify the petition for the existing wireless antenna attachment to the utility's transmission tower
*PSC-20-09-00016-P	.... exempt	The recovery of, and accounting for, costs associated with the Companies' advanced metering infrastructure (AMI) pilots etc	To consider a filing of the Companies as to the recovery of, and accounting for, costs associated with it's AMI pilots etc
*PSC-20-09-00017-P	.... exempt	The recovery of, and accounting for, costs associated with CHG&E's AMI pilot program	To consider a filing of CHG&E as to the recovery of, and accounting for, costs associated with it's AMI pilot program
*PSC-22-09-00011-P	.... exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-25-09-00005-P	.... exempt	Whether to grant, deny, or modify, in whole or in part, the petition	Whether to grant, deny, or modify, in whole or in part, the petition
*PSC-25-09-00006-P	.... exempt	Electric utility implementation plans for proposed web based SIR application process and project status database	To determine if the proposed web based SIR systems are adequate and meet requirements needed for implementation
*PSC-25-09-00007-P	.... exempt	Electric rates for Consolidated Edison Company of New York, Inc	Consider a Petition for Rehearing filed by Consolidated Edison Company of New York, Inc

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-27-09-00011-P	exempt	Interconnection of the networks between Vernon and tw telecom of new york l.p. for local exchange service and exchange access.	To review the terms and conditions of the negotiated agreement between Vernon and tw telecom of new york l.p.
*PSC-27-09-00014-P	exempt	Billing and payment for energy efficiency measures through utility bill	To promote energy conservation
*PSC-27-09-00015-P	exempt	Interconnection of the networks between Oriskany and tw telecom of new york l.p. for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Oriskany and tw telecom of new york l.p
*PSC-29-09-00011-P	exempt	Consideration of utility compliance filings	Consideration of utility compliance filings
*PSC-32-09-00009-P	exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-34-09-00016-P	exempt	Recommendations made in the Management Audit Final Report	To consider whether to take action or recommendations contained in the Management Audit Final Report
*PSC-34-09-00017-P	exempt	To consider the transfer of control of Plattsburgh Cablevision, Inc. d/b/a Charter Communications to CH Communications, LLC	To allow the Plattsburgh Cablevision, Inc. to distribute its equity interest in CH Communications, LLC
*PSC-36-09-00008-P	exempt	The increase in the non-bypassable charge implemented by RG&E on June 1, 2009	Considering exemptions from the increase in the non-bypassable charge implemented by RG&E on June 1, 2009
*PSC-37-09-00015-P	exempt	Sale of customer-generated steam to the Con Edison steam system	To establish a mechanism for sale of customer-generated steam to the Con Edison steam system
*PSC-37-09-00016-P	exempt	Applicability of electronic signatures to Deferred Payment Agreements	To determine whether electronic signatures can be accepted for Deferred Payment Agreements
*PSC-39-09-00015-P	exempt	Modifications to the $5 Bill Credit Program	Consideration of petition of National Grid to modify the Low Income $5 Bill Credit Program
*PSC-39-09-00018-P	exempt	The offset of deferral balances with Positive Benefit Adjustments	To consider a petition to offset deferral balances with Positive Benefit Adjustments
*PSC-40-09-00013-P	exempt	Uniform System of Accounts - request for deferral and amortization of costs	To consider a petition to defer and amortize costs
*PSC-51-09-00029-P	exempt	Rules and guidelines for the exchange of retail access data between jurisdictional utilities and eligible ESCOs	To revise the uniform Electronic Data Interchange Standards and business practices to incorporate a contest period
*PSC-51-09-00030-P	exempt	Waiver or modification of Capital Expenditure condition of merger	To allow the companies to expend less funds for capital improvement than required by the merger
*PSC-52-09-00006-P	exempt	ACE's petition for rehearing for an order regarding generator-specific energy deliverability study methodology	To consider whether to change the Order Prescribing Study Methodology
*PSC-52-09-00008-P	exempt	Approval for the New York Independent System Operator, Inc. to incur indebtedness and borrow up to $50,000,000	To finance the renovation and construction of the New York Independent System Operator, Inc.'s power control center facilities

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-05-10-00008-P	exempt	Petition for the submetering of electricity	To consider the request of University Residences - Rochester, LLC to submeter electricity at 220 John Street, Henrietta, NY
*PSC-05-10-00015-P	exempt	Petition for the submetering of electricity	To consider the request of 243 West End Avenue Owners Corp. to submeter electricity at 243 West End Avenue, New York, NY
*PSC-06-10-00022-P	exempt	The Commission's Order of December 17, 2009 related to redevelopment of Consolidated Edison's Hudson Avenue generating facility	To reconsider the Commission's Order of December 17, 2009 related to redevelopment of the Hudson Avenue generating facility
*PSC-07-10-00009-P	exempt	Petition to revise the Uniform Business Practices	To consider the RESA petition to allow rescission of a customer request to return to full utility service
*PSC-08-10-00007-P	exempt	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847
*PSC-08-10-00009-P	exempt	Consolidated Edison of New York, Inc. energy efficiency programs	To modify approved energy efficiency programs
*PSC-12-10-00015-P	exempt	Recommendations made by Staff intended to enhance the safety of Con Edison's gas operations	To require that Con Edison implement the Staff recommendations intended to enhance the safety of Con Edison's gas operations
*PSC-14-10-00010-P	exempt	Petition for the submetering of electricity	To consider the request of 61 Jane Street Owners Corporation to submeter Electricity at 61 Jane Street, Manhattan, NY
*PSC-16-10-00005-P	exempt	To consider adopting and expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-16-10-00007-P	exempt	Interconnection of the networks between TDS Telecom and PAETEC Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between TDS Telecom and PAETEC Communications
*PSC-16-10-00015-P	exempt	Interconnection of the networks between Frontier and Choice One Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier and Choice One Communications
*PSC-18-10-00009-P	exempt	Electric utility transmission right-of-way management practices	To consider electric utility transmission right-of-way management practices
*PSC-19-10-00022-P	exempt	Whether National Grid should be permitted to transfer a parcel of property located at 1 Eddy Street, Fort Edward, New York	To decide whether to approve National Grid's request to transfer a parcel of vacant property in Fort Edward, New York
*PSC-22-10-00006-P	exempt	Requirement that Noble demonstrate that its affiliated electric corporations operating in New York are providing safe service	Consider requiring that Noble demonstrate that its affiliated electric corporations in New York are providing safe service
*PSC-22-10-00008-P	exempt	Petition for the submetering of electricity	To consider the request of 48-52 Franklin Street to submeter electricity at 50 Franklin Street, New York, New York
*PSC-24-10-00009-P	exempt	Verizon New York Inc. tariff regulations relating to voice messaging service	To remove tariff regulations relating to retail voice messaging service from Verizon New York Inc.'s tariff

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-25-10-00012-P	.... exempt	Reassignment of the 2-1-1 abbreviated dialing code	Consideration of petition to reassign the 2-1-1 abbreviated dialing code
*PSC-25-10-00015-P	.... exempt	To allow NYWC to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2009	Consideration of NYWC's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2009
*PSC-27-10-00016-P	.... exempt	Petition for the submetering of electricity	To consider the request of 9271 Group, LLC to submeter electricity at 960 Busti Avenue, Buffalo, New York
*PSC-31-10-00007-P	.... exempt	Waiver of the Attachment 23 requirement in 2001 Rate Order that NMPC Board of Directors consist of ''outside directors''	To consider the waiver of the requirement that a majority of NMPC Board of directors consist of ''outside directors''
*PSC-34-10-00003-P	.... exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-34-10-00005-P	.... exempt	Approval of a contract for $250,000 in tank repairs that may be a financing	To decide whether to approve a contract between the parties that may be a financing of $250,000 for tank repairs
*PSC-34-10-00006-P	.... exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-36-10-00010-P	.... exempt	Central Hudson's procedures, terms and conditions for an economic development plan	Consideration of Central Hudson's procedures, terms and conditions for an economic development plan
*PSC-40-10-00014-P	.... exempt	Disposition of a state sales tax refund	To determine how much of a state sales tax refund should be retained by National Grid
*PSC-40-10-00021-P	.... exempt	Whether to permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall	To permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall
*PSC-41-10-00018-P	.... exempt	Amount of hourly interval data provided to Hourly Pricing customers who have not installed a phone line to read meter	Allow Central Hudson to provide less than a years worth of interval data and charge for manual meter reading for some customers
*PSC-41-10-00022-P	.... exempt	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY
*PSC-42-10-00011-P	.... exempt	Petition for the submetering of electricity	To consider the request of 4858 Group, LLC to submeter electricity at 456 Main Street, Buffalo, New York
*PSC-43-10-00016-P	.... exempt	Utility Access to Ducts, Conduit Facilities and Utility Poles	To review the complaint from Optical Communications Group
*PSC-44-10-00003-P	.... exempt	Third and fourth stage gas rate increase by Corning Natural Gas Corporation	To consider Corning Natural Gas Corporation's request for a third and fourth stage gas rate increase
*PSC-51-10-00018-P	.... exempt	Commission proceeding concerning three-phase electric service by all major electric utilities	Investigate the consistency of the tariff provisions for three-phase electric service for all major electric utilities

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-11-11-00003-P	exempt	The proposed transfer of 55.42 acres of land and $1.4 million of revenues derived from the rendition of public service	The proposed transfer of 55.42 acres of land and $1.4 million of revenues derived from the rendition of public service
*PSC-12-11-00008-P	exempt	To allow NYWC to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2010	Consideration of NYWC's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2010
*PSC-13-11-00005-P	exempt	Exclude the minimum monthly bill component from the earnings test calculation	Exclude the minimum monthly bill component from the earnings test calculation
*PSC-13-11-00007-P	exempt	Budget allocations and use of System Benefits Charge funds to pay State Cost Recovery Fee	To encourage cost effective gas and electric energy conservation in the State
*PSC-14-11-00009-P	exempt	Petition for the submetering of electricity	To consider the request of 83-30 118th Street to submeter electricity at 83-30 118th Street, Kew Gardens, New York
*PSC-16-11-00011-P	exempt	The Energy Efficiency Portfolio Standard	To promote gas and electricity energy conservation programs in New York
*PSC-19-11-00007-P	exempt	Utility price reporting requirements related to the Commission's ''Power to Choose'' website	Modify the Commission's utility electric commodity price reporting requirements related to the ''Power to Choose'' website
*PSC-20-11-00012-P	exempt	Petition for the submetering of electricity	To consider the request of KMW Group LLC to submeter electricity at 122 West Street, Brooklyn, New York
*PSC-20-11-00013-P	exempt	Determining the reasonableness of Niagara Mohawk Power Corporation d/b/a National Grid 's make ready charges	To determine if the make ready charges of Niagara Mohawk Power Corporation d/b/a National Grid are reasonable
*PSC-22-11-00004-P	exempt	Whether to permit the use of the Sensus accWAVE for use in residential gas meter applications	To permit gas utilities in New York State to use the Sensus accWAVE diaphragm gas meter
*PSC-23-11-00018-P	exempt	NYSERDA's energy efficiency program for low-income customers	To promote energy conservation in New York State
*PSC-26-11-00007-P	exempt	Water rates and charges	To approve an increase in annual revenues by about $25,266 or 50%
*PSC-26-11-00009-P	exempt	Petition for the submetering of electricity at commercial property	To consider the request of by Hoosick River Hardwoods, LLC to submeter electricity at 28 Taylor Avenue, in Berlin, New York
*PSC-26-11-00012-P	exempt	Waiver of generation retirement notice requirements	Consideration of waiver of generation retirement notice requirements
*PSC-29-11-00011-P	exempt	Petition requesting the Commssion reconsider its May 19, 2011 Order and conduct a hearing, and petition to stay said Order.	To consider whether to grant or deny, in whole or in part, Windstream New York's Petition For Reconsideration and Rehearing.
*PSC-35-11-00011-P	exempt	Whether to permit Consolidated Edison a waiver to commission regulations Part 226.8	Permit Consolidated Edison to conduct a inspection program in lieu of testing the accuracy of Category C meters
*PSC-36-11-00006-P	exempt	To consider expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-38-11-00002-P	exempt	Operation and maintenance procedures pertaining to steam trap caps	Adopt modified steam operation and maintenance procedures
*PSC-38-11-00003-P	exempt	Waiver of certain provisions of the electric service tariffs of Con Edison	Consideration of waiver of certain provisions of the electric service tariffs of Con Edison
*PSC-40-11-00010-P	exempt	Participation of regulated local exchange carriers in the New York Data Exchange, Inc. (NYDE)	Whether to partially modify its order requiring regulated local exchange carriers' participation NYDE
*PSC-40-11-00012-P	exempt	Granting of transfer of plant in-service to a regulatory asset	To approve transfer and recovery of unamortized plant investment
*PSC-42-11-00018-P	exempt	Availability of telecommunications services in New York State at just and reasonable rates	Providing funding support to help ensure availability of affordable telecommunications service throughout New York
*PSC-43-11-00012-P	exempt	Transfer of outstanding shares of stock	Transfer the issued outstanding shares of stock of The Meadows at Hyde Park Water-Works Corporation to HPWS, LLC
*PSC-47-11-00007-P	exempt	Remedying miscalculations of delivered gas as between two customer classes	Consideration of Con Edison's proposal to address inter-class delivery imbalances resulting from past Company miscalculations
*PSC-48-11-00007-P	exempt	Transfer of controlling interests in generation facilities from Dynegy to PSEG	Consideration of the transfer of controlling interests in electric generation facilities from Dynegy to PSEG
*PSC-48-11-00008-P	exempt	Petition for the submetering of electricity	To consider the request of To Better Days, LLC to submeter electricity at 37 East 4th Street, New York, New York
*PSC-51-11-00010-P	exempt	The Total Resource Cost (TRC) test, used to analyze measures in the Energy Efficiency Portfolio Standard program	Petitioners request that the TRC test and/or its application to measures should be revised
*PSC-52-11-00017-P	exempt	Reparations and refunds	Reparations and refunds
*PSC-01-12-00007-P	exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-01-12-00008-P	exempt	Transfer of real property and easements from NMPNS to NMP3	Consideration of the transfer of real property and easements from NMPNS to NMP3
*PSC-01-12-00009-P	exempt	Recovery of expenses related to the expansion of Con Edison's ESCO referral program, PowerMove	To determine how and to what extent expenses related to the Expansion of Con Edison's ESCO referral program should be recovered
*PSC-11-12-00002-P	exempt	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff
*PSC-11-12-00005-P	exempt	Transfer of land and water supply assets	Transfer the land and associated water supply assets of Groman Shores, LLC to Robert Groman
*PSC-13-12-00005-P	exempt	Authorization to transfer certain real property	To decide whether to approve the transfer of certain real property

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-17-12-00007-P	.... exempt	Whether a proposed agreement for the provision of water service by Saratoga Water Services, Inc. is in the public interest	Whether the Commission should issue an order approving the proposed provision of water service
*PSC-17-12-00008-P	.... exempt	Whether a proposed agreement for the provision of water service by Saratoga Water Services, Inc. is in the public interest	Whether the Commission should issue an order approving the proposed provision of water service
*PSC-17-12-00009-P	.... exempt	Whether a proposed agreement for the provision of water service by Saratoga Water Services, Inc. is in the public interest	Whether the Commission should issue an order approving the proposed provision of water service
*PSC-19-12-00019-P	.... exempt	EEPS programs administered by New York State Electric & Gas Corporation and Rochester Gas and Electric Corporation	To modify the C&I sector by combining multiple approved C&I programs into a single C&I program for each PA
*PSC-19-12-00022-P	.... exempt	Approval of a combined heat and power performance program funding plan administered by NYSERDA	Modify NYSERDA's EEPS programs budget and targets to fund the CHP program
*PSC-19-12-00023-P	.... exempt	Petition for approval pursuant to Section 70 for the sale of goods with an original cost of less than $100,000	To consider whether to grant, deny or modify, in whole or in part, the petition filed by Orange and Rockland Utilities, Inc.
*PSC-21-12-00006-P	.... exempt	Tariff filing requirements and refunds	To determine if certain agreements should be filed pursuant to the Public Service Law and if refunds are warranted
*PSC-21-12-00011-P	.... exempt	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47
*PSC-23-12-00005-P	.... exempt	EEPS multifamily programs administered by Consolidated Edison Company of New York, Inc.	To redesign the multifamily electric and gas programs and modify the budgets and targets
*PSC-23-12-00007-P	.... exempt	The approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility	To consider the approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility
*PSC-23-12-00009-P	.... exempt	Over earnings sharing between rate payers and shareholders	To establish an Earnings Sharing Mechanism to be applied following the conclusion of Corning's rate plan
*PSC-27-12-00012-P	.... exempt	Implementation of recommendations made in a Management Audit Report	To consider implementation of recommendations made in a Management Audit Report
*PSC-28-12-00013-P	.... exempt	Exemption of reliability reporting statistics for the purpose of the 2012 Reliability Performance Mechanism	Consideration of Orange and Rockland Utilities request for exemption of the 2012 reliability reporting statistics
*PSC-29-12-00019-P	.... exempt	Waiver of 16 NYCRR 894.1 through 894.4	To allow the Town of Hamden to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-30-12-00010-P	.... exempt	Waiver of 16 NYCRR 894.1 through 894.4	To allow the Town of Andes to waive certain preliminary franchising procedures to expedite the franchising process
*PSC-33-12-00009-P	.... exempt	Telecommunications companies ability to attach to utility company poles	Consideration of Tech Valley's ability to attach to Central Hudson poles

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-35-12-00014-P	exempt	To implement an abandonment of White Knight's water system	To approve the implementation of abandonment of White Knight's water system
*PSC-37-12-00009-P	exempt	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers
*PSC-42-12-00009-P	exempt	Regulation of Gipsy Trail Club, Inc.'s long-term financing agreements	To exempt Gipsy Trail Club, Inc. from Commission regulation of its financing agreements
*PSC-45-12-00008-P	exempt	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff
*PSC-45-12-00010-P	exempt	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District
*PSC-50-12-00003-P	exempt	Affiliate standards for Corning Natural Gas Corporation	To resolve issues raised by Corning Natural Gas Corporation in its petition for rehearing
*PSC-04-13-00006-P	exempt	Expansion of mandatory day ahead hourly pricing for customers of Orange and Rockland Utilities with demands above 100 kW	To consider the expansion of mandatory day ahead hourly pricing for customers with demands above 100 kW
*PSC-04-13-00007-P	exempt	Authorization to transfer certain real property.	To decide whether to approve the transfer of certain real property.
*PSC-06-13-00008-P	exempt	Verizon New York Inc.'s retail service quality	To investigate Verizon New York Inc.'s retail service quality
*PSC-08-13-00012-P	exempt	Filing requirements for certain Article VII electric facilities	To ensure that applications for certain electric transmission facilities contain pertinent information
*PSC-08-13-00014-P	exempt	Uniform System of Accounts - Request for Accounting Authorization	To allow the company to defer an item of expense or capital beyond the end of the year in which it was incurred
*PSC-12-13-00007-P	exempt	Protecting company water mains	To allow the company to require certain customers to make changes to the electrical grounding system at their homes
*PSC-13-13-00008-P	exempt	The potential waiver of 16 NYCRR 255.9221(d) completion of integrity assessments for certain gas transmission lines.	To determine whether a waiver of the timely completion of certain gas transmission line integrity assessments should be granted.
*PSC-17-13-00008-P	exempt	Provision of historical utility pricing information for comparison purposes for residential ESCO customers	Provision of historical utility pricing information for comparison purposes for residential ESCO customers
*PSC-17-13-00010-P	exempt	Provision of historical pricing information for comparison purposes for residential ESCO customers	Provision of historical pricing information for comparison purposes for residential ESCO customers
*PSC-18-13-00007-P	exempt	Whether Demand Energy Networks energy storage systems should be designated technologies for standby rate eligibility purposes	Whether Demand Energy Networks energy storage systems should be designated technologies for standby rate eligibility purposes

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-21-13-00003-P	.... exempt	To consider policies that may impact consumer acceptance and use of electric vehicles	To consider and further develop policies that may impact consumer acceptance and use of electric vehicles
*PSC-21-13-00005-P	.... exempt	To implement an abandonment of Windover's water system	To approve the implementation of abandonment of Windover's water system
*PSC-21-13-00008-P	.... exempt	Rates of National Fuel Gas Distribution Corporation	To make the rates of National Fuel Gas Distribution Corporation temporary, subject to refund, if they are found to be excessive
*PSC-21-13-00009-P	.... exempt	Reporting requirements for natural gas local distribution companies	To help ensure efficient and economic expansion of the natural gas system as appropriate
*PSC-22-13-00009-P	.... exempt	On remand from New York State court litigation, determine the recovery of certain deferred amounts owed NFG by ratepayers	On remand, to determine the recovery of certain deferral amounts owed NFG from ratepayers
*PSC-23-13-00005-P	.... exempt	Waiver of partial payment, directory database distribution, service quality reporting, and service termination regulations	Equalize regulatory treatment based on level of competition and practical considerations
*PSC-24-13-00009-P	.... exempt	Repowering options for the Cayuga generating station located in Lansing, New York, and alternatives	To establish whether utility plans should include repowering options for the Cayuga generating station, or other alternatives
*PSC-24-13-00010-P	.... exempt	Repowering options for the Dunkirk generating station located in Dunkirk, New York, and alternatives	To establish whether utility plans should include repowering options for the Dunkirk generating station, or other alternatives
*PSC-25-13-00008-P	.... exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.
*PSC-25-13-00009-P	.... exempt	Provision by utilities of natural gas main and service lines.	To help ensure efficient and economic expansion of the natural gas system as appropriate.
*PSC-25-13-00012-P	.... exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.
*PSC-27-13-00014-P	.... exempt	Columbia Gas Transmission Corporation Cost Refund	For approval for temporary waiver of tariff provisions regarding its Columbia Gas Transmission Corporation cost refund.
*PSC-28-13-00014-P	.... exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-28-13-00016-P	.... exempt	The request of NGT for lightened regulation as a gas corporation.	To consider whether to approve, reject, or modify the request of Niagara gas transport of Lockport, NY LLC.
*PSC-28-13-00017-P	.... exempt	The request by TE for waiver of regulations requiring that natural gas be odorized in certain gathering line segments	Consider the request by TE for waiver of regulations that gas be odorized in certain lines
*PSC-32-13-00009-P	.... exempt	To consider the definition of ''misleading or deceptive conduct'' in the Commission's Uniform Business Practices	To consider the definition of ''misleading or deceptive conduct'' in the Commission's Uniform Business Practices

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-32-13-00010-P	. . . . exempt	Permission to write off and eliminate record keeping for regulatory reserves for Pensions and Other Post Retirement Benefits	To allow write off and eliminate record keeping of Pension and Other Post Retirement Benefits Reserves
*PSC-32-13-00012-P	. . . . exempt	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion
*PSC-33-13-00027-P	. . . . exempt	Waive underground facility requirements for new construction in residential subdivisions to allow for overhead electric lines.	Determine whether Chapin Lumberland, LLC subdivision will be allowed overhead electric distribution and service lines.
*PSC-33-13-00029-P	. . . . exempt	Deferral of incremental costs associated with the restoration of steam service following Superstorm Sandy.	To consider a petition by Con Edison to defer certain incremental steam system restoration costs relating to Superstorm Sandy.
*PSC-34-13-00004-P	. . . . exempt	Escrow account and surcharge to fund extraordinary repairs	To approve the establishment of an escrow account and surcharge
*PSC-37-13-00007-P	. . . . exempt	Dissolution of Garrow Water Works Company, Inc..	To allow for the dissolution of Garrow Water Works Company, Inc.
*PSC-39-13-00010-P	. . . . exempt	NY-Sun initiative within the Customer-Sited Tier of the RPS Program.	To increase the statewide adoption of customer sited photovoltaic solar generation through the NY-Sun Initiative.
*PSC-42-13-00013-P	. . . . exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-42-13-00015-P	. . . . exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-43-13-00015-P	. . . . exempt	Petition for submetering of electricity	To consider the request of 2701 Kingsbridge Terrace L.P. to submeter electricity at 2701 Kingsbridge Terrace, Bronx, N.Y.
*PSC-45-13-00021-P	. . . . exempt	Investigation into effect of bifurcation of gas and electric utility service on Long Island.	To consider a Petition for an investigation into effect of bifurcation of gas and electric utility service on Long Island.
*PSC-45-13-00022-P	. . . . exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4)	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00023-P	. . . . exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00024-P	. . . . exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4); waiver of filing deadlines.	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00025-P	. . . . exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-47-13-00009-P	. . . . exempt	Petition for submetering of electricity.	To consider the request of Hegeman Avenue Housing L.P. to submeter electricity at 39 Hegeman Avenue, Brooklyn, N.Y.
*PSC-47-13-00012-P	. . . . exempt	Conditioning,restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.	Consideration of conditioning,restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-49-13-00008-P	exempt	Authorization to transfer all of Crystal Water Supply Company, Inc. stocks to Essel Infra West Inc.	To allow Crystal Water Supply Company, Inc to transfer all of its issued and outstanding stocks to Essel Infra West Inc.
*PSC-51-13-00009-P	exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00010-P	exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00011-P	exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-52-13-00012-P	exempt	The development of reliability contingency plan(s) to address the potential retirement of Indian Point Energy Center (IPEC).	To address the petition for rehearing and reconsideration/motion for clarification of the IPEC reliability contingency plan(s).
*PSC-52-13-00015-P	exempt	To enter into a loan agreement with the banks for up to an amount of $94,000.	To consider allowing Knolls Water Company to enter into a long-term loan agreement.
*PSC-01-14-00017-P	exempt	Residential Time-of-Use Rates	To establish residential optional time of use delivery and commodity rates
*PSC-03-14-00009-P	exempt	disposition of tax refunds and other related matters	to determine the disposition of tax refunds and other related matters
*PSC-04-14-00005-P	exempt	National Fuel Gas Corporation's Conservation Incentive Programs.	To modify National Fuel Gas Corporation's Non-Residential Conservation Incentive Program.
*PSC-05-14-00010-P	exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-07-14-00008-P	exempt	Petition for submetering of electricity	To consider the request of Greater Centennial Homes HDFC, Inc. to submeter electricity at 102, 103 and 106 W 5th Street, et al.
*PSC-07-14-00012-P	exempt	Water rates and charges	Implementation of Long-Term Water Supply Surcharge to recover costs associated with the Haverstraw Water Supply Project
*PSC-08-14-00015-P	exempt	Verizon New York Inc.'s service quality and Customer Trouble Report Rate (CTRR) levels at certain central office entities	To improve Verizon New York Inc.'s service quality andthe Customer Trouble Report Rate levels at certain central office entities
*PSC-10-14-00006-P	exempt	Actions to facilitate the availability of ESCO value-added offerings, ESCO eligibility and ESCO compliance	To facilitate ESCO value-added offerings and to make changes to ESCO eligibility and to ensure ESCO compliance
*PSC-11-14-00003-P	exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-16-14-00014-P	exempt	Whether to order NYSEG to provide gas service to customers when an expanded CPCN is approved and impose PSL 25-a penalties.	To order gas service to customers in the Town of Plattsburgh after approval of a town wide CPCN and to impose penalties.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-16-14-00015-P	. . . . exempt	Whether Central Hudson should be permitted to defer obligations of the Order issued on October 18, 2013 in Case 13-G-0336.	Consideration of the petition by Central Hudson to defer reporting obligations of the October 18, 2013 Order in Case 13-G-0336
*PSC-16-14-00016-P	. . . . exempt	Waiver of Commission regulations governing termination of service.	Consider United Water New York Inc.'s proposal to expand termination of service provisions.
*PSC-17-14-00003-P	. . . . exempt	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism
*PSC-17-14-00004-P	. . . . exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00007-P	. . . . exempt	To consider petitions for rehearing, reconsideration and/or clarification	To consider petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00008-P	. . . . exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-19-14-00014-P	. . . . exempt	Market Supply Charge	To make tariff revisions to the Market Supply Charge for capacity related costs
*PSC-19-14-00015-P	. . . . exempt	Whether to permit the use of the Sensus accuWAVE for use in residential and commercial gas meter applications	To permit gas utilities in New York State to use the Sensus accuWAVE 415TC gas meter
*PSC-19-14-00018-P	. . . . exempt	Uniform System of Accounts, deferral of an expense item	Authorization of a deferral for an expense item beyond the end of the year in which it was incurred
*PSC-22-14-00013-P	. . . . exempt	Petition to transfer and merge systems, franchises and assets.	To consider the Comcast and Time Warner Cable merger and transfer of systems, franchises and assets.
*PSC-23-14-00010-P	. . . . exempt	Whether to permit the use of the GE Dresser Series B3-HPC 11M-1480 rotary gas met for use in industrial gas meter applications	To permit gas utilities in New York State to use the GE Dresser Series B3-HPC 11M-1480 rotary gas meter
*PSC-23-14-00014-P	. . . . exempt	Waiver of the negative revenue adjustment associated with KEDLI's 2013 Customer Satisfaction Performance Metric	Consideration of KEDLI's waiver request pertaining to its 2013 performance under its Customer Satisfaction Metric
*PSC-24-14-00005-P	. . . . exempt	To examine LDC's performance and performance measures.	To improve gas safety performance.
*PSC-26-14-00010-P	. . . . exempt	Petitioner requests an order authorizing its participation in the next Main Tier solicitation offered under the RPS Program.	To enable continued operation of a 21 MW biomass fueled electric generating facility in Chateaugay, New York.
*PSC-26-14-00013-P	. . . . exempt	Waiver of RG&E's tariffed definition of emergency generator.	To consider waiver of RG&E's tariffed definition of emergency generator.
*PSC-26-14-00017-P	. . . . exempt	Existing ratemaking and rate design practices will be revised with a focus on outcomes and incentives.	To use the Commission's ratemaking authority to foster a DER-intensive system.
*PSC-26-14-00020-P	. . . . exempt	New electric utility backup service tariffs and standards for interconnection may be adopted.	To encourage development of microgrids that enhance the efficiency, safety, reliability and resiliency of the electric grid.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-26-14-00021-P	.... exempt	Consumer protections, standards and protocols pertaining to access to customer data may be established.	To balance the need for the information necessary to support a robust market with customer privacy concerns.
*PSC-28-14-00014-P	.... exempt	Petition to transfer systems, franchises and assets.	To consider the Comcast and Charter transfer of systems, franchise and assets.
*PSC-30-14-00023-P	.... exempt	Whether to permit the use of the Sensus iPERL Fire Flow Meter.	Pursuant to 16 NYCRR Part 500.3 , it is necessary to permit the use of the Sensus iPERL Fire Flow Meter.
*PSC-30-14-00025-P	.... exempt	Allocation of uncommitted Technology and Market Development Funds to the Combined Heat & Power Performance Program.	To consider allocation of uncommitted Technology & Market Development Funds to the Combined Heat & Power Performance Program.
*PSC-30-14-00026-P	.... exempt	Petition for a waiver to master meter electricity.	Considering the request of Renaissance Corporation of to master meter electricity at 100 Union Drive,Albany, NY.
*PSC-31-14-00004-P	.... exempt	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross
*PSC-32-14-00009-P	.... exempt	Refueling options for the Dunkirk generating station located in Dunkirk, New York, and alternatives	To address the joint petition for rehearing of the Commission's Order related to refueling the Dunkirk generating station
*PSC-32-14-00012-P	.... exempt	Whether to grant or deny, in whole or in part, the Connect New York Coalition's petition	To consider the Connect New York Coalition's petition seeking a formal investigation and hearings
*PSC-34-14-00009-P	.... exempt	Whether to approve the Quadlogic S10N residential submeter.	Approval of the Quadlogic S10N Smart Meter for use in residential electric submetering is required by 16 NYCRR Parts 93 and 96.
*PSC-35-14-00004-P	.... exempt	Regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY	To consider regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY
*PSC-35-14-00005-P	.... exempt	Whether to permit the use of the Sensus iConA electric meter	Pursuant to 16 NYCRR Parts 92 and 93, Commission approval is necessary to permit the use of the Sensus iConA electric meter
*PSC-36-14-00009-P	.... exempt	Modification to the Commission's Electric Safety Standards.	To consider revisions to the Commission's Electric Safety Standards.
*PSC-36-14-00010-P	.... exempt	The procurement of Main Tier renewable resources will become the responsibility of the State's electric utilities.	To ensure the development of large-scale remnewables in New York State to promote fuel diversity and reduce carbon emissions.
*PSC-36-14-00011-P	.... exempt	To defer pension settlement losses associated with retirements in the year ended March 31, 2014.	To resolve the ratemaking of the pension settlement loss.
*PSC-38-14-00003-P	.... exempt	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.
*PSC-38-14-00004-P	.... exempt	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-38-14-00005-P	.... exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-38-14-00007-P	.... exempt	Whether to expand Con Edison's low income program to include Medicaid recipients.	Whether to expand Con Edison's low income program to include Medicaid recipients.
*PSC-38-14-00008-P	.... exempt	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.
*PSC-38-14-00010-P	.... exempt	Inter-carrier telephone service quality standard and metrics and administrative changes.	To review recommendations from the Carrier Working Group and incorporate appropriate modifications to the existing Guidelines.
*PSC-38-14-00012-P	.... exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-38-14-00018-P	.... exempt	New electric utility demand response tariffs may be adopted.	To develop mature DER markets by enabling the development and use of DR as an economic system resource.
*PSC-39-14-00020-P	.... exempt	Whether to permit the use of the Mueller Systems 400 Series and 500 Series of water meters	Pursuant to 16 NYCRR section 500.3, whether to permit the use of the Mueller Systems 400, and 500 Series of water meters
*PSC-40-14-00008-P	.... exempt	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.
*PSC-40-14-00009-P	.... exempt	Whether to permit the use of the Itron Open Way Centron Meter with Hardware 3.1 for AMR and AMI functionality.	Pursuant to 16 NYCRR Parts 93, is necessary to permit the use of the Itron Open Way Centron Meter with Hardware 3.1.
*PSC-40-14-00011-P	.... exempt	Late Payment Charge.	To modify Section 7.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-40-14-00013-P	.... exempt	Regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.	To consider regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.
*PSC-40-14-00014-P	.... exempt	Waiver of 16 NYCRR Sections 894.1 through 894.4(b)(2)	To allow the Town of Goshen, NY, to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-40-14-00015-P	.... exempt	Late Payment Charge.	To modify Section 6.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-42-14-00003-P	.... exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-42-14-00004-P	.... exempt	Winter Bundled Sales Service Option	To modify SC-11 to remove language relating to fixed storage charges in the determination of the Winter Bundled Sales charge
*PSC-48-14-00014-P	.... exempt	Considering the recommendations contained in Staff' s electric outage investigation report for MNRR, New Haven Line.	To consider the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-52-14-00019-P	.... exempt	Petition for a waiver to master meter electricity.	Considering the request of 614 South Crouse Avenue, LLC to master meter electricity at 614 South Crouse Avenue, Syracuse, NY..
*PSC-01-15-00014-P	.... exempt	State Universal Service Fund Disbursements	To consider Edwards Telephone Company's request for State Universal Service Fund disbursements
*PSC-01-15-00017-P	.... exempt	Reimbursement of costs for construction under 16 NYCRR 230	To determine proper reimbursement for costs related to trenching and construction
*PSC-03-15-00002-P	.... exempt	Waiver of tariff provisions related to SC 14 Non-Core Transportation Services for Electric Generation	To determine whether a waiver is warranted
*PSC-04-15-00008-P	.... exempt	Re-billing SC No. 2 customers from March 2008 through March 2014.	To determine whether re-billing SC No. 2 customers by the Companies' proposed methodology customers is appropriate.
*PSC-04-15-00010-P	.... exempt	To modify the retail access program under SC No. 19 - Seller Transportation Aggregation Service.	To modify the retail access program to implement Tier 2A – Storage Capacity Release and make other tariff changes.
*PSC-04-15-00011-P	.... exempt	To modify the retail access program under SC No. 8 - Seller Services.	To modify the retail access program to implement Tier 2A - Storage Capacity Release and make other tariff changes.
*PSC-04-15-00012-P	.... exempt	Disposition of tax refunds and other related matters.	To determine the disposition of tax refunds and other related matters.
*PSC-07-15-00006-P	.... exempt	Whether to order a remand regarding payphone rates	Whether to order a remand regarding payphone rates and award refunds
*PSC-08-15-00009-P	.... exempt	Approval of a surcharge.	To allow or disallow Emerald Green Lake Louise Marie Water Company, Inc. for a surcharge.
*PSC-08-15-00010-P	.... exempt	Request pertaining to the lawfulness of National Grid USA continuing its summary billing program.	To grant, deny, or modify URAC Rate Consultants' request that National Grid cease its summary billing program.
*PSC-10-15-00007-P	.... exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s partial rehearing or reconsideration request regarding retention of property tax refunds
*PSC-10-15-00008-P	.... exempt	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes
*PSC-10-15-00009-P	.... exempt	Contingency Tariffs regarding demand response issues	To consider Contingency Tariffs regarding demand response issues
*PSC-12-15-00007-P	.... exempt	The Annual Reconciliation of Gas Expenses and Gas Cost Recoveries codified at Title 16 NYCRR Section 720.6.5	Examine the Annual Reconciliation of Gas Expenses and Gas Cost Recoveries mechanism
*PSC-13-15-00024-P	.... exempt	Whether Leatherstocking should be permitted to recover a shortfall in earnings	To decide whether to approve Leatherstocking's request to recover a shortfall in earnings
*PSC-13-15-00026-P	.... exempt	Whether to permit the use of the Sensus Smart Point Gas AMR/AMI product	To permit the use of the Sensus Smart Point Gas AMR/AMI product

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-13-15-00027-P	.... exempt	Whether to permit the use of the Measurlogic DTS 310 electric submeter	To permit the use of the Measurlogic DTS 310 submeter
*PSC-13-15-00028-P	.... exempt	Whether to permit the use of the SATEC EM920 electric meter	To permit necessary to permit the use of the SATEC EM920 electric meter
*PSC-13-15-00029-P	.... exempt	Whether to permit the use the Triacta Power Technologies 6103, 6112, 6303, and 6312 electric submeters	To permit the use of the Triacta submeters
*PSC-17-15-00004-P	.... exempt	Rehearing of the Commission's Order Adopting Regulatory Policy Framework and Implementation Plan	Consideration of a petition for rehearing
*PSC-17-15-00007-P	.... exempt	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of $2.75 million	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of $2.75 million
*PSC-18-15-00004-P	.... exempt	National Grid's electric Economic Development Programs	To revise the economic development assistance to qualified businesses
*PSC-18-15-00005-P	.... exempt	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism
*PSC-18-15-00007-P	.... exempt	National Grid's Economic Development Programs	To authorize a new economic development program for National Grid's natural gas service territory
*PSC-19-15-00011-P	.... exempt	Gas Safety Performance Measures and associated negative revenue adjustments	To update the performance measures applicable to KeySpan Gas East Corporation d/b/a National Grid
*PSC-20-15-00006-P	.... exempt	Implementation of the proposed Microgrid Business Model as a reliability and demand management resource	Consider implementation of the proposed Microgrid Business Model as a reliability and demand management resource
*PSC-22-15-00015-P	.... exempt	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)
*PSC-23-15-00005-P	.... exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-23-15-00006-P	.... exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-25-15-00008-P	.... exempt	Notice of Intent to Submeter electricity.	To consider the request of 165 E 66 Residences, LLC to submeter electricity at 165 East 66th Street, New York, New York.
*PSC-26-15-00014-P	.... exempt	To consider the request for partial waiver of the energy audit requirements in 16 NYCRR Section 96.5(k)	To consider the request for partial waiver of the energy audit requirements in 16 NYCRR Section 96.5(k)
*PSC-26-15-00016-P	.... exempt	Petition to Submeter electricity	To consider the request of 39 Plaza Housing Corporation to submeter electricity at 39 Plaza Street West, Brooklyn, New York
*PSC-27-15-00014-P	.... exempt	Authorization for NYAW to accrue interest on internal reserve debit balances	To allow NYAW to accrue interest on internal reserve debit balances

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-28-15-00006-P	.... exempt	The minor electric rate filing of Mohawk Municipal Commission	Whether to increase Mohawk Municipal Commission's annual electric revenues by approximately $113,119 or 13.74%
*PSC-29-15-00018-P	.... exempt	Approval of ratemaking related to amendment a certificate of public convenience and necessity	To approve or reject the ratemaking aspects of SLG's petition to amend its certificate of public convenience and necessity
*PSC-29-15-00025-P	.... exempt	Joint Petition for authority to transfer real property located at 624 West 132nd Street, New York, NY	Whether to authorize the proposed transfer of real property located at 624 West 132nd Street, New York, NY
*PSC-31-15-00007-P	.... exempt	Plan to convert petroleum pipeline into a natural gas pipeline	Whether to approve the proposed conversion plan submitted by NIC Holding Corp
*PSC-32-15-00005-P	.... exempt	Petition for rehearing of the Order Adopting Dynamic Load Management Filings with Modifications	To consider a petition for rehearing of the Order Adopting Dynamic Load Management Filings with Modifications
*PSC-32-15-00006-P	.... exempt	Development of a Community Solar Demonstration Project.	To approve the development of a Community Solar Demonstration Project.
*PSC-32-15-00012-P	.... exempt	Proposed standards for Commission oversight of Distributed Energy Resource suppliers.	To consider proposed standards for Commission oversight of Distributed Energy Resource suppliers.
*PSC-33-15-00009-P	.... exempt	Remote net metering of a demonstration community net metering program.	To consider approval of remote net metering of a demonstration community net metering program.
*PSC-33-15-00012-P	.... exempt	Remote net metering of a Community Solar Demonstration Project.	To consider approval of remote net metering of a Community Solar Demonstration Project.
*PSC-34-15-00021-P	.... exempt	Petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs	To consider the petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs
PSC-35-15-00010-P	.... exempt	Notice of Intent to Submeter Electricity	To consider the request of 605 West 42nd Owner LLC to submeter electricity at 605 West 42nd Street, New York, New York
PSC-35-15-00011-P	.... exempt	Demand based Standby Service Charges levied upon Offset Tariff customers accounts	To consider a revision to demand based Standby Service Charges levied upon Offset Tariff customers accounts
PSC-35-15-00014-P	.... exempt	Consideration of consequences against Light Power & Gas, LLC for violations of the UBP	To consider consequences against Light Power & Gas, LLC for violations of the UBP
PSC-37-15-00007-P	.... exempt	Submetered electricity	To consider the request of 89 Murray Street Ass. LLC, for clarification of the submetering order issued December 20, 2007
PSC-38-15-00008-P	.... exempt	Notice of Intent to submeter electricity	To consider the request of Community Counseling and Mediation to submeter electricity at 226 Linden Blvd., Brooklyn, New York
PSC-39-15-00012-P	.... exempt	Petition to submeter electricity	To consider the request of 47 East 34th Street (NY), L.P., to submeter electricity at 49 East 34th Street New York, New York

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-40-15-00012-P	exempt	Establishment of the regulatory regime applicable to an approximately 106 MW electric generating facility	Consideration of approval of a lightened regulatory regime for an approximately 106 MW electric generating facility
PSC-40-15-00014-P	exempt	Whether to permit the use of the Open Way 3.5 with cellular communications	To consider the use of the Open Way 3.5 electric meter, pursuant to 16 NYCRR Parts 92 and 93
PSC-41-15-00005-P	exempt	Intergrow disputes National Grid's revenue assurance calculations	To consider whether the revenue assurance National Grid is requiring of Intergrow for the new interconnection is appropriate
PSC-41-15-00007-P	exempt	The allocation of costs for the extension of electric service	Whether to grant the complaint of Glenwyck Development, LLC
PSC-41-15-00009-P	exempt	Main Tier of the Renewable Portfolio Standard program	To consider allocating funding from the Main Tier to an eligible hydroelectric facility
PSC-41-15-00011-P	exempt	Deferral of incremental costs incurred in 2014 associated with increased gas leak response and repair activities	To consider a petition by Con Edison to defer certain incremental costs associated with gas leak response and repair activities
PSC-42-15-00006-P	exempt	Deferral of incremental expenses associated with NERC's new Bulk Electric System (BES) compliance requirements approved by FERC.	Consideration of Central Hudson's request to defer incremental expenses associated with new BES compliance requirements.
PSC-42-15-00010-P	exempt	Petition for modification of Con Edison's S.C. No. 4 (Back-up/Supplementary) Steam Service.	To consider modifications to S.C. No. 4 of Con Edison's Schedule for Steam Service.
PSC-42-15-00012-P	exempt	Establishment of the regulatory regime applicable to a proposed natural gas pipeline facility.	Consideration of a lightened regulatory regime for a proposed natural gas pipeline facility.
PSC-42-15-00013-P	exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.
PSC-44-15-00028-P	exempt	Deferral of incremental expenses associated with new compliance requirements	Consideration of Central Hudson's request to defer incremental expenses associated with new compliance requirements
PSC-44-15-00030-P	exempt	System Improvement Plan mechanism	To consider Bath's petition to implement a SIP mechanism
PSC-47-15-00012-P	exempt	Reimbursement of costs for construction under 16 NYCRR 230	To determine proper reimbursement for costs related to trenching and construction
PSC-47-15-00013-P	exempt	Whitepaper on Implementing Lightened Ratemaking Regulation.	Consider Whitepaper on Implementing Lightened Ratemaking Regulation.
PSC-48-15-00010-P	exempt	Lightened and incidental regulation of a 55 MW electric and steam generating facility.	Consider the lightened and incidental regulation of a 55 MW electric and steam generating facility.
PSC-48-15-00011-P	exempt	Proposal to retire Huntley Units 67 and 68 on March 1, 2016.	Consider the proposed retirement of Huntley Units 67 and 68.
PSC-49-15-00009-P	exempt	Petition for rehearing of the Order Establishing Interim Ceilings on the Interconnection of Net Metered Generation	To consider a Petition for rehearing of the Order Establishing Interim Ceilings on the Interconnection of Net Metered Generation

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-50-15-00006-P	.... exempt	The reduction of rates.	To consider the reduction of rates charged by Independent Water Works, Inc.
PSC-50-15-00008-P	.... exempt	The transfer of 1,064 utility poles.	To consider the transfer of 1,064 utility poles from Orange and Rockland Utilities, Inc. to Frontier Communications Corp.
PSC-50-15-00009-P	.... exempt	Notice of Intent to submeter electricity.	To consider the request to submeter electricity at 31-33 Lincoln Road and 510 Flatbush Avenue, Brooklyn, New York.
PSC-51-15-00010-P	.... exempt	Modification of the EDP	To consider modifying the EDP
PSC-51-15-00011-P	.... exempt	National Grid's electric Economic Development Programs	To consider modifications to the economic development assistance to qualified businesses
PSC-52-15-00015-P	.... exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on Astral for its apparent non-compliance with Commission requirements.
PSC-01-16-00002-P	.... exempt	Revenue assurance calculations	To consider whether the revenue assurance National Grid is requiring of Tiashoke for the upgraded service is appropriate
PSC-01-16-00003-P	.... exempt	Deferral of expenses	To consider a petition for the deferral of expenses
PSC-01-16-00005-P	.... exempt	Proposed amendment to Section 5, Attachment 1.A of the Uniform Business Practices	To consider amendment to Section 5, Attachment 1.A of the Uniform Business Practices
PSC-03-16-00008-P	.... exempt	Petition to submeter electricity	To consider the request of 910 Fifth Avenue Corporation to submeter electricity at 910 Fifth Avenue, New York, New York
PSC-04-16-00007-P	.... exempt	Whether Hamilton Municipal Utilities should be permitted to construct and operate a municipal gas distribution facility.	Consideration of the petition by Hamilton Municipal Utilities to construct and operate a municipal gas distribution facility.
PSC-04-16-00010-P	.... exempt	Proposed revisions to add and clarify provisions related to electric generators under SC No. 14.	To consider revisions to SC No. 14 and align the electric generator provisions with its downstate companies, KEDLI and KEDNY.
PSC-04-16-00011-P	.... exempt	Investigation that certain practices of Central Hudson Gas and Electric Corporation resulted in violations of HEFPA.	To consider the Petition of Nobody Leaves Mid-Hudson to investigate Central Hudson for claims of HEFPA violations.
PSC-04-16-00012-P	.... exempt	Proposal to mothball three gas turbines located at the Astoria Gas Turbine Generating Station.	Consider the proposed mothball of three gas turbines located at the Astoria Gas Turbine Generating Station.
PSC-04-16-00013-P	.... exempt	Proposal to find that three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.	Consider whether three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.
PSC-06-16-00007-P	.... exempt	Transfer of water supply assets.	To consider the sale of water supply assets of Northeast Water Services to Suez Water Owego-Nichols, Inc.
PSC-06-16-00008-P	.... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 31 Lincoln Road Development LLC to submeter electricity at 31-33 Lincoln Road, Brooklyn, NY.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-06-16-00010-P	exempt	Lakewood disputes National Grid's revenue assurance calculations, specifically the duration used.	To consider whether the revenue assurance National Grid is requiring of Lakewood for the new interconnection is appropriate.
PSC-06-16-00012-P	exempt	Inclusion of a Farm and Food Community program in the community distributed generation program.	To consider the inclusion of a Farm and Food Community program in the community distributed generation program.
PSC-06-16-00013-P	exempt	Continued deferral of approximately $16,000,000 in site investigation and remediation costs.	To consider the continued deferral of approximately $16,000,000 in site investigation and remediation costs.
PSC-06-16-00014-P	exempt	MEGA's proposed demonstration CCA program.	To consider MEGA's proposed demonstration CCA program.
PSC-06-16-00015-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 31 Lincoln Road Development LLC to submeter electricity at 510 Flatbush Ave., Brooklyn, NY.
PSC-07-16-00016-P	exempt	Use of the Electro Industries Shark 200 electric submeter in residential applications	To consider the use of the Electro Industries Shark 200 submeter
PSC-07-16-00017-P	exempt	To modify the retail access program under SC No. 8 - Seller Services	To consider changes to the retail access program to implement Tier 2A - Storage Capacity Release and other tariff revisions
PSC-07-16-00018-P	exempt	The use of the Open Way Centron 3.5 commercial meter, with 4G LTE cellular or modem communications for electric metering	To consider the use of the Itron Open Way Centron 3.5 meter
PSC-07-16-00020-P	exempt	To modify the retail access program under SC No. 19 - Seller Transportation Aggregation Service	To consider changes to the retail access program to implement Tier 2A – Storage Capacity Release and other tariff revisions
PSC-08-16-00007-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of BOP MW Residential Market LLC and BOP MW Residential Affordable LLC to submeter electricity.
PSC-10-16-00010-P	exempt	Stock Acquisition	To consider the acquisition of the stock of Whistle Tree Development Corporation by Scribners Catskill Lodge, LLC.
PSC-11-16-00010-P	exempt	To establish a process to facilitate the transfer of complete systems of street lighting equipment	To consider the establishment of a process to facilitate the transfer of complete systems of street lighting equipment
PSC-11-16-00011-P	exempt	To establish a process to facilitate the transfer of complete systems of street lighting equipment	To consider the establishment of a process to facilitate the transfer of complete systems of street lighting equipment
PSC-11-16-00012-P	exempt	To establish a process to facilitate the transfer of complete systems of street lighting equipment	To consider the establishment of a process to facilitate the transfer of complete systems of street lighting equipment
PSC-11-16-00013-P	exempt	Leakage survey and corrosion inspection requirements	To establish protocols and timeframes for completing leakage surveys and corrosion inspections on gas service lines
PSC-11-16-00014-P	exempt	To establish a process to facilitate the transfer of complete systems of street lighting equipment	To consider the establishment of a process to facilitate the transfer of complete systems of street lighting equipment

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-11-16-00015-P	.... exempt	To establish a process to facilitate the transfer of complete systems of street lighting equipment	To consider the establishment of a process to facilitate the transfer of complete systems of street lighting equipment
PSC-11-16-00016-P	.... exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of 504 Myrtle Residential Owner LLC to submeter electricity at 504 Myrtle Avenue, Brooklyn, NY
PSC-11-16-00017-P	.... exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of 140 West Street Condominium to submeter electricity at 100 Barclay Street, New York, NY
PSC-11-16-00018-P	.... exempt	Rolling Meadows Water Corporation's rates for the provision of water	To consider an increase in Rolling Meadows Water Corporation's annual water revenues by approximately $169,841 or 34.05%
PSC-12-16-00003-P	.... exempt	The use of the GE Energy low voltage transformers	To consider the use of the GE Energy low voltage transformers
PSC-12-16-00004-P	.... exempt	The option to opt out of using an AMR device, and substitute an electro-mechanical meter, at no additional charge	To consider the option to opt out of using an AMR device, and substitute an electro-mechanical meter, at no additional charge
PSC-12-16-00005-P	.... exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of 3475 Third Avenue Owner Realty LLC to submeter electricity at 3475 Third Avenue, Bronx, NY
PSC-12-16-00007-P	.... exempt	Deferral of incremental costs incurred in 2015 associated with increased gas leak response and repair activities	To consider a petition by Con Edison to defer certain incremental costs associated with gas leak response and repair activities
PSC-12-16-00008-P	.... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of Promenade Global LLC to submeter electricity at 150 West 225th Street, Bronx, New York.
PSC-13-16-00007-P	.... exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent to submeter electricity at 131-05, 131-03 and 131-01 40th Road, Flushing, New York
PSC-13-16-00008-P	.... exempt	Standby rate exemption for Offset Tariff customers	Consideration of the standby rate exemption for Offset Tariff customers
PSC-13-16-00009-P	.... exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of Franklin Place Condominium to submeter electricity at 5 Franklin Place, New York, New York
PSC-13-16-00011-P	.... exempt	Transfer of stock	To consider the sale of all outstanding Crystal Water Corp. stock to Bruce McNab
PSC-14-16-00006-P	.... exempt	Revisions to S.C. No. 4 Back-Up/ Supplementary Service related to contract demand.	To consider revisions to S.C. No. 4 Back-Up/ Supplementary Service related to contract demand.
PSC-14-16-00007-P	.... exempt	Regulation of customer name changes on pending interconnection applications for grandfathered projects.	To consider regulation of customer name changes on pending interconnection applications for grandfathered projects.
PSC-14-16-00008-P	.... exempt	Resetting retail markets for ESCO mass market customers.	To ensure consumer protections with respect to residential and small non-residential ESCO customers.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-15-16-00010-P	.... exempt	Proposed financial incentives for projects undertaken through the Targeted Demand Management program	To consider financial incentives for projects undertaken through the Targeted Demand Management program
PSC-15-16-00012-P	.... exempt	Adequate service of Verizon New York, Inc.	To consider the adequacy of Verizon New York Inc.'s service quality
PSC-15-16-00015-P	.... exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of IGI-GGP Renwick LLC to submeter electricity at 15 Renwick Street, New York, New York
PSC-16-16-00004-P	.... exempt	Utility Codes of Conduct for affiliate interactions.	To update and/or modify utility codes of conduct in anticipation of changes related to evolving Commission policies.
PSC-17-16-00004-P	.... exempt	Major electric rate filing	To consider an increase in Con Edison's electric delivery revenues of approximately $482 million or 9.5%
PSC-17-16-00005-P	.... exempt	Major gas rate filing	To consider an increase in KEDNY's gas delivery revenues by approximately $290 million or 32%
PSC-17-16-00006-P	.... exempt	Proposal to revise General Rule 20 Standby Service	To consider proposed tariff revisions related to standby service multi-party offset under General Rule 20
PSC-17-16-00007-P	.... exempt	Major gas rate filing	To consider an increase in Con Edison's gas delivery revenues of approximately $154 million or 13.4%
PSC-17-16-00008-P	.... exempt	Major gas rate filing	To consider an increase in KEDLI's gas delivery revenues by approximately $175 million or 27%
PSC-18-16-00013-P	.... exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
PSC-18-16-00014-P	.... exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
PSC-18-16-00015-P	.... exempt	Petitions for rehearing of the Order Resetting Retail Energy Markets and Establishing Further Process.	To ensure consumer protections for ESCO customers.
PSC-18-16-00016-P	.... exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
PSC-18-16-00018-P	.... exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
PSC-19-16-00010-P	.... 05/11/17	Technical Amendments of State regulations	To align State regulations with their corollary Federal regulations
PSC-19-16-00011-P	.... exempt	Public Street Lighting - LED Options	To consider the addition of LED options to O&R's SC No. 4 - Public Street Lighting
PSC-19-16-00012-P	.... exempt	Proposed corporate reorganization and transfer of ownership interests between members in Cricket Valley Energy Center, LLC	To consider corporate reorganization and transfer of ownership interests between members in Cricket Valley Energy Center, LLC

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-20-16-00007-P	. . . . exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of BAM GO Developers, LLC to submeter electricity at 250 Ashland Place, Brooklyn, New York.
PSC-20-16-00008-P	. . . . exempt	Consideration of consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).	To consider consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).
PSC-20-16-00009-P	. . . . exempt	Standards for affiliate relationships.	To consider whether to permit the expansion of employees who are permitted to perform services on behalf of affiliates.
PSC-20-16-00010-P	. . . . exempt	Deferral and recovery of incremental expense.	To consider deferring costs of conducting leak survey and repairs for subsequent recovery.
PSC-20-16-00011-P	. . . . exempt	Enetics LD-1120 Non-Intrusive Load Monitoring Device in the Statewide Residential Appliance Metering Study.	To consider the use of the Enetics LD-1120 Non-Intrusive Load Monitoring Device.
PSC-21-16-00006-P	. . . . exempt	Petition to submeter electricity	To consider the petition of HV Housing, LLC to submeter electricity at 45 Vanderburgh Avenue, Troy, New York
PSC-21-16-00007-P	. . . . exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent to submeter electricity at 206 Outer Main Street, Building #67, Potsdam, New York
PSC-21-16-00008-P	. . . . exempt	GE I-210+c with Silver Spring Network Interface Card (NIC) 510	To consider the use of the GE I-210+c with Silver Spring Networks Interface Card (NIC) 510
PSC-22-16-00010-P	. . . . exempt	Notice of Intent to submeter electricity and waiver of 16 NYCRR § 96.5(k)(3).	To consider the Notice of Intent to submeter electricity and waiver of 16 NYCRR § 96.5(k)(3).
PSC-22-16-00011-P	. . . . exempt	Petition for rehearing of the Order Modifying Standardized Interconnection Requirements and alternative enforcement mechanisms.	To ensure compliance with the Standardized Interconnection Requirements.
PSC-22-16-00012-P	. . . . exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 20 West 53rd Street, L.L.C. to submeter electricity at 20 West 53 Street, New York, NY.
PSC-22-16-00013-P	. . . . exempt	Disposition of tax refunds and other related matters.	To consider the disposition of tax refunds and other related matters.
PSC-22-16-00014-P	. . . . exempt	Request for waiver of 16 NYCRR § 96.5(k)(3) and § 96.6(b).	To consider the request for waiver of 16 NYCRR § 96.5(k)(3) and 16 NYCRR § 96.6(b)
PSC-22-16-00015-P	. . . . exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 100 Willoughby Street and 210 Duffield Street, Brooklyn, New York.
PSC-23-16-00008-P	. . . . exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent to submeter electricity at 135 West 52nd Street, New York, New York
PSC-23-16-00009-P	. . . . exempt	Transfer of assets and dissolution of Birch Hill Water Company Inc.	To consider the transfer of assets and dissolution of the Birch Hill Water Company Inc.
PSC-23-16-00010-P	. . . . exempt	Minor water rate filing	To consider an increase in Pheasant Hill Water Corporation's annual water revenues by approximately $66,325 or 126%

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PUBLIC SERVICE COMMISSION			
PSC-23-16-00011-P	. . . . exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s request to retain a portion of a property tax refund
PSC-23-16-00012-P	. . . . exempt	Area Code Overlay	To consider an area code overlay in the current 518 area code
PSC-23-16-00013-P	. . . . exempt	Acquisition of all of the assets of Beaver Dam Lake Water Corporation	To consider the acquisition of all assets of Beaver Dam Lake Water Corporation by New York American Water Company Inc.
PSC-24-16-00008-P	. . . . exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 220 Central Park South, New York, New York.
PSC-24-16-00009-P	. . . . exempt	Petition to submeter gas service.	To consider the Petition of New York City Economic Development Corp. to submeter gas at Pier 17, 89 South Street, New York, NY.
PSC-24-16-00010-P	. . . . exempt	Establishment of reliability contingency plan(s) to address the potential closure of Indian Point Energy Center.	To address reliability needs associated with the potential closure of the Indian Point Energy Center.
PSC-25-16-00008-P	. . . . exempt	Consideration of the Avangrid Implementation Plan and audit recommendations.	To consider Avangrid's Implementation Plan.
PSC-25-16-00009-P	. . . . exempt	To delay Companies' third-party assessments of customer personally identifiable information until 2018.	To extend the time period between the Companies' third-party assessments of customer personally identifiable information.
PSC-25-16-00010-P	. . . . exempt	Consideration of Consolidated Edison Company of New York, Inc.'s Implementation Plan and audit recommendations.	To consider Consolidated Edison Company of New York, Inc.'s Implementation Plan.
PSC-25-16-00011-P	. . . . exempt	A petition for rehearing of the Order Authorizing Framework for Community Choice Aggregation Opt-out Program.	To determine appropriate rules for Community Choice Aggregation Programs.
PSC-25-16-00012-P	. . . . exempt	Consideration of NYISO's Western New York PPTN Viability and Sufficiency Assessment.	To identify whether NYISO should proceed to further evaluate solutions to a Western New York PPTN.
PSC-25-16-00013-P	. . . . exempt	Petition for reconsideration of the Order Authorizing Framework for Community Choice Aggregation Opt-out Program	To determine appropriate rules for Community Choice Aggregation Programs
PSC-25-16-00014-P	. . . . exempt	Consideration of the National Grid companies' Implementation Plan and audit recommendations.	To consider the National Grid companies' Implementation Plan.
PSC-25-16-00015-P	. . . . exempt	Consideration of the National Fuel Gas Distribution Corporation Implementation Plan and audit recommendations.	To consider National Fuel Gas Distribution Corporation's Implementation Plan.
PSC-25-16-00016-P	. . . . exempt	Consideration of the Orange and Rockland Utilities, Inc. Implementation Plan and audit recommendations.	To consider Orange and Rockland Utilities, Inc.'s Implementation Plan.
PSC-25-16-00017-P	. . . . exempt	Consideration of the Central Hudson Gas & Electric Corporation Implementation Plan and audit recommendations.	To consider Central Hudson Gas & Electric Corporation 's Implementation Plan.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-25-16-00018-P	exempt	Proposed Community Choice Aggregation Data Security Agreement.	To ensure appropriate consumer protections in Community Choice Aggregation programs.
PSC-25-16-00019-P	exempt	Revision of customer service metrics.	To consider revisions to customer service metrics previously approved by the Commission.
PSC-25-16-00020-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of Gemini Residential, LLC to submeter electricity at 225 East 39th Street, New York, New York.
PSC-25-16-00021-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 28th Highline Associates, LLC to submeter electricity at 520 West 28th Street, New York, NY.
PSC-25-16-00022-P	exempt	Transfer of ownership interests in Crestwood Pipeline East LLC.	Consideration of transfer of ownership interests in Crestwood Pipeline East LLC.
PSC-25-16-00023-P	exempt	Use of the Elster Solutions Energy Axis transponder.	To consider the use of the Elster Solutions Energy Axis transponder.
PSC-25-16-00024-P	exempt	Pole Attachment Rules.	To determine that the Commission's existing pole attachment rules apply to wireless providers.
PSC-25-16-00025-P	exempt	Acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.	To consider acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.
PSC-25-16-00026-P	exempt	Use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter, in residential fire service applications.	To consider the use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter in fire service applications.
PSC-25-16-00027-P	exempt	Use of the Badger Meter HR E LCD High Resolution E Series Encoder Register.	To consider the use of the Badger Meter HR E LCD High Resolution E Series Encoder Register.
PSC-25-16-00028-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 421 Kent Development LLC to submeter electricity at 60 South 8th Street, Brooklyn, New York.
PSC-25-16-00029-P	exempt	Use of the Orion Water Endpoints meter reading system.	To consider the use of the Orion Water Endpoints.
PSC-26-16-00019-P	exempt	Major water rate filing.	To consider a proposal to increase annual base rates by approximately $11.6 million or 13.7%.
PSC-26-16-00020-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 23-01 42nd Street, Long Island City, New York.
PSC-26-16-00021-P	exempt	To extend the implementation date for its retail access program cash-out process.	To consider an extension for the implementation of the retail access program cash-out process.
PSC-27-16-00006-P	exempt	Continuation of the State Universal Service Fund.	To consider a proposal to continue the SUSF for an additional four years, through 12/31/20.
PSC-27-16-00007-P	exempt	The waiver of a Commission policy on test years in rate cases.	To consider the waiver of the Commission's 150 day requirement.
PSC-28-16-00013-P	exempt	Initial Tariff Schedule which includes rates, charges, rules and regulations for water service.	To consider the proposed Initial Tariff Schedule and initial rate for water service.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-28-16-00014-P	. . . . exempt	Consideration of CECONY and O&R's Implementation Plan for 36 audit recommendations.	To consider CECONY and O&R's Implementation Plan.
PSC-28-16-00015-P	. . . . exempt	Major water rate filing.	To consider a proposal to increase revenues by approximately $8.49 million or 8.3% and consolidate tariffs and rates.
PSC-28-16-00016-P	. . . . exempt	A petition for reconsideration of the Order Adopting a Ratemaking and Utility Revenue Model Policy Framework.	To determine appropriate rules for and calculation of the distributed generation reliability credit.
PSC-28-16-00017-P	. . . . exempt	A petition for rehearing of the Order Adopting a Ratemaking and Utility Revenue Model Policy Framework.	To determine appropriate rules for and calculation of the distributed generation reliability credit.
PSC-29-16-00019-EP	. . . . exempt	Appointment of a temporary operator.	To ensure safe water supply through appointment of a temporary operator.
PSC-29-16-00021-P	. . . . exempt	Use of the Silver Spring Network Commercial Gas Interface Management Unit - IMU 200.	To consider the use of the Silver Spring Network Commercial Gas Interface Management Unit - IMU 200.
PSC-29-16-00022-P	. . . . exempt	Petitions for Rehearing of the Commission's Order Adopting Low Income Program Modifications and Directing Utility Filings.	To establish rates, terms, and conditions for low income utility programs.
PSC-29-16-00023-P	. . . . exempt	Use of the Silver Spring Network Residential Gas Interface Management Unit - IMU 300 and IMU 300A.	To consider the use of the Silver Spring Network Residential Gas Interface Management Unit - IMU 300 and IMU 300A.
PSC-29-16-00024-P	. . . . exempt	Participation of NYPA customers in surcharge-funded clean energy programs.	To consider participation of NYPA customers in surcharge-funded clean energy programs.
PSC-29-16-00025-P	. . . . exempt	Proposed modifications to gas safety violations metric adopted in Case 12-G-0202.	To consider NMPC's petition to modify gas safety violations metric.
PSC-30-16-00002-EP	. . . . exempt	Resuming billing of six gas customers on Sullivan Rd., Alden, NY.	To allow Reserve Gas Company to resume billing its six Sullivan Rd. customers.
PSC-30-16-00005-P	. . . . exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of 616 First Avenue LLC to submeter electricity at 626 First Avenue, New York, New York
PSC-30-16-00006-P	. . . . exempt	The application of NYSEG's tariff to a remote net metering host account owned by Cornell University	To determine the appropriate tariff treatment for the Cornell account
PSC-30-16-00007-P	. . . . exempt	The Municipal Electric and Gas Alliance's Community Choice Aggregation Implementation Plan	To ensure appropriate consumer protections
PSC-31-16-00004-P	. . . . exempt	Proposed acquisition of 100% of the assets of WBA by NYAW and to address other matters related to the acquisition.	To consider the proposed acquisition of all assets of WBA by NYAW and other matters related to the acquisition.
PSC-32-16-00003-P	. . . . exempt	Performance Assurance Plan waiver for certain wholesale service quality metrics.	To consider Verizon's waiver petition concerning certain wholesale service quality results.
PSC-32-16-00004-P	. . . . exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 58 Corner LLC to submeter electricity at 600 W. 58th Street, New York, New York.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-32-16-00005-P	exempt	Major gas rate filing.	To consider an increase in National Fuel's gas delivery revenues of approximately $41.7 million or 15.27%.
PSC-32-16-00006-P	exempt	Proposed revisions for a new Daily Delivery Service and the Winter Bundled Sales Service.	To consider a new Daily Delivery Service and a modified Winter Bundled Sales Service.
PSC-32-16-00007-P	exempt	Utility DSIPs to achieve the Commission's Reforming the Energy Vision (REV) initiative.	Development of utility DSIPs for improving utility planning and operations functions under REV.
PSC-32-16-00008-P	exempt	Proposed revisions to add and clarify provisions related to electric generators under SC No. 14.	To consider revisions to SC No. 14 - Daily Balancing Service.
PSC-32-16-00009-P	exempt	Proposed acquisition of 100% of the assets of New Vernon and Whitlock Farms by NYAW.	To consider the proposed acquisition of assets of New Vernon and Whitlock Farms by NYAW.
PSC-32-16-00010-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 30 Park Place, New York, New York.
PSC-32-16-00011-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 138-35 39th Avenue, Flushing, New York.
PSC-32-16-00012-P	exempt	Benefit-Cost Analysis Handbooks.	To evaluate proposed methodologies of benefit-cost evaluation.
PSC-32-16-00021-P	exempt	The continued deferral of $300,000 in property taxes.	To consider the continued deferral of $300,000 in property taxes.
PSC-33-16-00001-EP	08/17/17	Use of escrow funds for repairs.	To authorize the use of escrow account funds for repairs.
PSC-33-16-00003-P	exempt	Use of the Silver Spring Network communication device in utility metering applications.	To consider the use of the Silver Spring Network communication device.
PSC-33-16-00004-P	exempt	Design and implementation of Low-Income Energy Efficiency Program proposed by Massena Electric Department.	To consider the design and implementation of a Low-Income Energy Efficiency Program proposed by Massena Electric Department.
PSC-33-16-00005-P	exempt	Exemption from certain charges for delivery of electricity to its Niagara Falls, New York facility.	Application of System Benefits Charges, Renewable Portfolio Standard charges and Clean Energy Fund surcharges.
PSC-33-16-00006-P	exempt	Lightened regulatory regime applicable to Indeck Corinth Limited Partnership.	To determine the extent to which Indeck Corinth Limited Partnership will be regulated under the Public Service Law.
PSC-34-16-00004-P	exempt	Proposed revisions to the General Information Section III.8(W) - AMR/AMI Meter Opt-out.	To consider revisions to AMR/AMI meter opt-out and manual meter reading charge provisions.
PSC-34-16-00005-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00006-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00007-P	exempt	Proposed revisions to the General Rule 6.10 - AMR/AMI Meter Opt-out.	To consider revisions to AMR/AMI meter opt-out and manual meter reading charge provisions.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-34-16-00008-P	.... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00009-P	.... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00010-P	.... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00011-P	.... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00012-P	.... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00013-P	.... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00014-P	.... exempt	Petition to submeter electricity.	To consider the petition of Elmo Homes, Inc. to submeter electricity at 728 41st Street, Brooklyn, New York.
PSC-34-16-00015-P	.... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00016-P	.... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of Snowplow LH LLC to submeter electricity at 252 East 57th Street, New York, NY.
PSC-34-16-00017-P	.... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 212 Fifth Avenue Venture LLC to submeter electricity at 212 Fifth Avenue, New York, NY.
PSC-34-16-00018-P	.... exempt	Standby Service.	To consider the implementation of a standby reliability credit and an offset tariff provision.
PSC-34-16-00019-P	.... exempt	Standby Service.	To consider the implementation of a standby reliability credit and an offset tariff provision.
PSC-34-16-00020-P	.... exempt	Standby Service.	To consider the implementation of a standby reliability credit and an offset tariff provision.
PSC-34-16-00021-P	.... exempt	Standby Service.	To consider the implementation of a standby reliability credit and an offset tariff provision.
PSC-34-16-00022-P	.... exempt	Standby Service.	To consider the implementation of a standby reliability credit and an offset tariff provision.
PSC-35-16-00014-P	.... exempt	Proposed acquisition of 100% of the assets of Hoey-DeGraw by NYAW and to address other matters related to the acquisition	To consider the proposed acquisition of 100% of assets of Hoey-DeGraw by NYAW and other matters related to the acquisition
PSC-35-16-00015-P	.... exempt	NYSRC's revisions to its rules and measurements	To consider revisions to various rules and measurements of the NYSRC
ROCHESTER-GENESEE REGIONAL TRANSPORTATION AUTHORITY			
RGT-04-16-00002-P	.... 01/26/17	Identifies prohibited conduct, consequences of prohibited conduct, and the available appeals process	To provide rules governing prohibited conduct to enhance the safety of the public using RGRTA's transportation services

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
STATE, DEPARTMENT OF			
*DOS-22-15-00017-RP	08/31/16	Facility requirements for businesses which offer appearance enhancement services	Increase ventilation standards for businesses which offer appearance enhancement services
STATE UNIVERSITY OF NEW YORK			
SUN-28-16-00005-P	07/13/17	State University of New York's Patents and Inventions Policy	Model best practices in the areas of innovation & technology transfer & comply with federal law re: intellectual property rights
SUN-30-16-00003-EP	07/27/17	State University of New York Tuition and Fees Schedule	To amend the Tuition and Fees Schedule to increase tuition for students in all programs in the State University of New York
SUN-30-16-00004-EP	07/27/17	College tuition and fees and Definition of a nonresident student	To provide flexibility in establishing community college tuition rates for students from outside the state
SUN-30-16-00009-P	07/27/17	State basic financial assistance for operating expenses of community colleges under the program of SUNY and CUNY	To modify limitations formula for basic State Financial assistance and conform to the Education Law and the 2016-17 Budget Bill
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-34-16-00023-P	exempt	Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith	To set the sales tax component and the composite rate per gallon for the period October 1, 2016 through December 31, 2016
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
TDA-46-15-00005-P	11/17/16	Storage of furniture and personal belongings	Provide clarification regarding allowances for the storage of furniture and personal belongings
TRANSPORTATION, DEPARTMENT OF			
TRN-47-15-00002-P	11/24/16	Various regulations addressing accident reporting, record retention, insurance, vehicle inspection and equipment identification	Updates to regulations addressing accident reporting, record retention, insurance, vehicle inspection, equipment identification
TRIBOROUGH BRIDGE AND TUNNEL AUTHORITY			
TBA-08-16-00005-P	02/23/17	Proposal to strengthen toll violation enforcement on TBTA bridges and tunnels	To deter toll evasion
WORKERS' COMPENSATION BOARD			
WCB-45-15-00019-P	11/09/16	Stipulations	To streamline the process for parties to enter into stipulations in workers' compensation proceedings
WCB-45-15-00025-P	11/09/16	Medical Treatment Guideline variances	Permit the Chair to require submission of variance requests via an electronic medical portal
WCB-45-15-00026-P	11/09/16	Medical Authorizations	Permit the Chair to require submission of medical authorization requests via an electronic medical portal

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
WORKERS' COMPENSATION BOARD			
WCB-45-15-00027-P	11/09/16	Medical Treatment Guideline optional prior approval	Change the time to respond from business days to calendar days

SECURITIES OFFERINGS

STATE NOTICES

Published pursuant to provisions of General Business Law
[Art. 23-A, § 359-e(2)]

DEALERS; BROKERS

Acadia Energy Corporation
3349 Monroe Ave., #295, Rochester, NY 14618
State or country in which incorporated — New York

Affinity Beverages LLC
63 Forest Ave., Locust Valley, NY 11560
State or country in which incorporated — Delaware limited liability company

Akahi Fund, L.P.
101 Mission St., Suite 2080, San Francisco, CA 94105
Partnership — Akahi Capital Management LLC

Akamatsu Fund
c/o Corporate Services, Ltd., P.O. Box 1344, 2nd Fl., 20 Genesis Close, Grand Cayman, Cayman Islands KY1-1108
State or country in which incorporated — Cayman Islands

APX New Harmony Partners-A, LP
591 Delaware Ave., Buffalo, NY 14222
Partnership — APX Energy, LLC

Auerbach Grayson & Company, LLC
25 W. 45th St., #16, New York, NY 10036

AVRA Medical Robotics, Inc.
1600 SE. 15th St., #512, Fort Lauderdale, FL 33316
State or country in which incorporated — Florida

Basswood Co-Investment Partners, Ltd.
c/o IMS Fund Services, Harbour Centre, 3rd Fl., N. Church St., Georgetown, Grand Cayman, Cayman Islands KY1-1103
State or country in which incorporated — Cayman Islands

BCE-HM Aggregate, LLC
1201 Louisiana St., Suite 3308, Houston, TX 77002

BCE-MESA Holdings, LLC
1201 Louisiana St., Suite 3308, Houston, TX 77002

Better Place International Inc.
995 Market St., 2nd Fl., San Francisco, CA 94103
State or country in which incorporated — Delaware

BTCS, Inc.
1901 N. Moore St., Arlington, VA 22209
State or country in which incorporated — Nevada

Cantor Fitzgerald & Co.
110 E. 59th St., 4th Fl., New York, NY 10022
Partnership — CFS CF&CO I Holdings, L.P.

Capital Real Estate - Omnia on 8th, LLC
1800 Larimer St., Suite 1700, Denver, CO 80202
State or country in which incorporated — Colorado limited liability company

Clearpath Capital Strategic Opportunities L.P. Series 1
222 Front St., 3rd Fl., San Francisco, CA 94111
Partnership — ClearPath Capital Partners LLC

Cordillera Crystallex Co-Investment Fund, L.P.
Two Embarcadero Center, Suite 2260, San Francisco, CA 94111
Partnership — Cordillera Investment GP I, LLC, general partner

Crawford Lake Enhanced Offshore Fund Ltd.
c/o Maples Corporate Services, Ltd., P.O. Box 309, Ugland House, Grand Cayman, Cayman Islands KY1-1104
State or country in which incorporated — Cayman Islands

Crow Point Global Dividend Plus Fund
c/o Gemini Fund Services, LI, 80 Arkay Dr., Hauppauge, NY 11788
State or country in which incorporated — Delaware

CSKC Lakeview Associates, LLC
c/o Capital Solutions, Inc., 910 Harvest Dr., Suite 105, Blue Bell, PA 19422
Partnership — KC Sundance Partners, LLC

Dataram Corporation
777 Alexander Rd., Suite 100, Princetown, NJ 08540
State or country in which incorporated — Nevada

Dorchester Capital Secondaries IV, L.P.
11111 Santa Monica Blvd., Suite 1250, Los Angeles, CA 90025
State or country in which incorporated — Delaware

Dorchester Capital Secondaries Offshore IV, L.P.
Walker House, 87 Mary St., George Town, Grand Cayman, Cayman Islands KY1-9001
Partnership — Dorchester Private Equity Management, LLC

Edgemoor Partners, LLC
600 California St., Suite 56, San Francisco, CA 94108

Endeavour Capital Mining Fund L.P.
c/o Walkers Corporation Limited, 27 Hospital Rd., George Town, Grand Cayman, Cayman Islands KY1-9008
Partnership — Endeavour Capital Mining Fund GP Ltd.

Galleria Co.
One Proctor & Gamble Plaza, Cincinnati, OH 45202
State or country in which incorporated — Delaware

Golden Predator Mining Corp.
#510 - 580 Hornby St., Vancouver, British Columbia, Canada V6C 3B6
State or country in which incorporated — Canada

Harvest Technology Partners, L.P.
600 Montgomery St., Suite 1700, San Francisco, CA 94111
Partnership — Harvest Capital Strategies LLC

HellowWii, Inc.
22 Park Ave., Venice, CA 90291
State or country in which incorporated — Delaware

Historic Preservation Fund 2016 LLC
1303 Prospect Ave. E, Suite 200, Cleveland, OH 44115
State or country in which incorporated — Ohio limited liability company

Horizon Life Science Debt Strategies Fund L.P.
312 Farmington Ave., Farmington, CT 06032
Partnership — Horizon Life Science Debt Strategies Fund GP LLC

Investment Managers Series Trust
235 W. Galena St., Milwaukee, WI 53212
State or country in which incorporated — Delaware

Kinderhook Capital Fund V, L.P.
521 Fifth Ave., 34th Fl., New York, NY 10175
Partnership — Kinderhook Capital Fund V GP, LLC

Kinderhook Capital Fund V-B, L.P.
521 Fifth Ave., 34th Fl., New York, NY 10175
Partnership — Kinderhook Capital Fund V GP, LLC

Laurel Feeder LP
50 Lothian Rd., Festival Sq., Edinburgh, Scotland EH3 9WJ
Partnership — Stage Capital GP LLP

Medtales Media Corp.
Corporation Trust Company, 1209 Orange St., Wilmington, New Castle County, DE 19801
State or country in which incorporated — Delaware

Nexlend Debt Capital GP LLC
1001 Avenue of the Americas, New York, NY 10018
State or country in which incorporated — Delaware

Norwich Partners Fund XV LLC
2330 Palm Ridge Rd., Unit 10, No. 305, Sanibel, FL 33957
State or country in which incorporated — Delaware

NRAPT Enterprises, LLC
333 W. 39th St., Suite 1502, New York, NY 10018
State or country in which incorporated — Delaware

PIF Investments, LLC
Five Mountain Wood Dr., Greenwich, CT 06830

PixarBio Corporation
200 Boston Ave., Suite 1875, Medford, MA 02155
State or country in which incorporated — Nevada

Prologue Feeder Fund, Ltd.
c/o Maples Corporate Services Limited, P.O. Box 309, Ugland House, Grand Cayman, Cayman Islands KY1-1104
State or country in which incorporated — Cayman Islands

PTAM Dynamic Fixed Income Fund (Cayman), Ltd.
500 W. Madison St., Suite 450, Chicago, IL 60661
State or country in which incorporated — Cayman Islands

Qena Capital Partners, LP
1114 Avenue of the Americas, 29th Fl., New York, NY 10036
Partnership — LCG Holdings, LLC

Quantimental Fund, LP
5662 S. County Line Rd., Hinsdale, IL 60521
Partnership — Quantimental Group, LLC

Showroom, Inc.
319 S. Robertson Blvd., Los Angeles, CA 90048
State or country in which incorporated — Delaware

Sims High Income Portfolio, L.P.
c/o Braintree Capital Partners, LLC, 175 Federal St., 5th Fl., Boston, MA 02110
Partnership — Braintree Capital Partners, LLC

Sorenson Ventures, L.P.
3400 N. Ashton Blvd., Suite 400, Lehi, UT 84043
Partnership — Lift Capital, L.P.

SPOKE Financial, LLC
629 N. High St., 4th Fl., Columbus, OH 43215
State or country in which incorporated — Delaware

Sprott Natural Resource Lending Fund 2016 LP
c/o Resource Capital Investment Corporation, 1910 Palomar Point Way, Suite 200, Carlsbad, CA 92008
Partnership — Resource Capital Investment Corporation

Stage Capital (Laurel) LP
50 Lothian Rd., Festival Sq., Edinburgh, Scotland, EH3 9WJ
Partnership — Stage Capital GP LLP

State Street Global Markets
State Street Financial Center, One Lincoln St., 5th Fl., Boston, MA 02111
State or country in which incorporated — Delaware

Sunstone Income Apartments III, LLC
2820 Townsgate Rd., Suite 207, Westlake Village, CA 91361
State or country in which incorporated — Delaware

TradiuX Offshore Fund Ltd.
c/o Maples Corporate Services Limited, P.O. Box 309, Ugland House, Grand Cayman, Cayman Islands KY1-1104
State or country in which incorporated — Cayman Islands

Valiant Capital Partners Offshore, Ltd.
c/o Morgan Stanley Fund Services (Bermuda) Ltd., P.O. Box 15000, The Observatory, 7-11 Sir John Rogerson's Quay, Dublin 2, Ireland
State or country in which incorporated — Cayman Islands

Vermilion Global Macro Fund, LP
101 S. Reid St., Suite 307, Sioux Falls, SD 57103
Partnership — Ramsay Investments, LLC

Weathervane Capital Partners Fund VII, L.P.
1055 Westlakes Dr., 3rd Fl., Berwyn, PA 19312
Partnership — Weathervane Capital Partners, LLC

Western Queens SC, LLC
c/o Friedlander & Associates, LLC, 1979 Marcus Ave., Suite 210, Lake Success, NY 11042

NOTICE OF AVAILABILITY OF STATE AND FEDERAL FUNDS

Division of Homeland Security and Emergency Services

1220 Washington Ave.
State Office Bldg. Campus, Bldg. 7A
Albany, NY 12242

UNITS OF LOCAL GOVERNMENT WITHIN TARGETED COUNTIES

Fiscal Year 2016 Critical Infrastructure Grant Program

Fiscal Year 2016 Critical Infrastructure Grant Program seeks applications for up to $50,000 in federal State Homeland Security Program funding made available by the NYS Division of Homeland Security and Emergency Services (DHSES) for critical infrastructure protection. The FY 2016 Critical Infrastructure Grant Program (CIGP) advances a common understanding of risk management. Applicants select a critical infrastructure site or special event site and complete a risk assessment. First responders assess their capability to prevent and protect against attacks on the site. Grant funding is then applied to mitigate vulnerabilities identified in the risk assessment or enhance first responder's capabilities.

The priority focus for the FY 2016 CIGP is government owned critical infrastructure sites and special event sites. Examples of government owned sites include, but are not limited to, government office buildings (e.g. city/town halls), emergency services (emergency operations centers, 911 centers, police or fire stations), water systems (water treatment facilities, water distribution, wastewater treatments) and cyber security initiatives. Examples of special event sites include, but are not limited to, major community festivals, races, or other mass gathering events. These events must be reoccurring and located or held on government owned or leased property that have definable geographic boundaries; the event or location must pose special security concerns, such a population surges and other factors that require additional law enforcement or emergency resources.

Only units of local government within targeted counties are eligible to apply for the FY 2016 CIGP. Units of local governments include: counties, cities, towns, and/or villages. Applicants must be located in New York City or one of the following targeted counties: Albany, Broome, Dutchess, Erie, Herkimer, Livingston, Madison, Monroe, Nassau, Niagara, Oneida, Onondaga, Ontario, Orange, Orleans, Oswego, Putnam, Rensselaer, Rockland, Saratoga, Schenectady, Schoharie, Suffolk, Tioga, Wayne, Westchester, and Yates. The application must be coordinated with at least two (2) agencies with prevention and/or protection responsibilities at the selected site. These must be law enforcement, fire department, emergency management, information technology professionals, or public works agencies.

Applications will be accepted from August 16, 2016 through 11:59 p.m. on September 16, 2016 via DHSES' Electronic Grants Management System (E-Grants).

For the Request for Applications (RFA) please visit the Division of Homeland Security and Emergency Services (DHSES) website at http://www.dhses.ny.gov/grants/targeted.cfm or DHSES's Grant Hotline at (866) 837-9133.

Division of Homeland Security and Emergency Services

1220 Washington Ave.
State Office Bldg. Campus, Bldg. 7A
Albany, NY 12242

LOCAL, COUNTY AND TRIBAL LAW ENFORCEMENT AGENCIES

Fiscal Year 2016 Explosive Detection Canine Team Grant Program

Fiscal Year 2016 Explosive Detection Canine Team Grant Program seeks applications for up to $50,000 in federal State Homeland Security Program funding made available by the NYS Division of Homeland Security and Emergency Services (DHSES) for programs to develop and support explosive detection canine team capabilities. The six primary objectives of this grant are: 1.) The advancement of explosive detection canine team capabilities; 2.) The certification of explosive detection canine teams and compliance with annual re-certification requirements; 3.) Participation in DHS's Office for Bombing Prevention's (DHS-OBP) Explosive Detection Canine Capability Analysis Program; 4.) Alignment to New York State's thirteen FBI Accredited bomb squads; 5.) Use of the Bomb Arson Tracking System (BATS); and, 6.) Promotion of regional partnerships in the development of mutual explosive detection canine team capabilities. Grants will be awarded to support local, county and Tribal law enforcement agencies with an active road patrol component of their law enforcement operations.

Applications will be accepted from August 16, 2016 through 11:59 p.m. on September 16, 2016 through the State's Electronic Grants Management System (E-Grants)

For the Request for Applications (RFA) please visit the Division of Homeland Security and Emergency Services (DHSES) website at http://www.dhses.ny.gov/grants/targeted.cfm or DHSES's Grant Hotline at (866) 837-9133.

Division of Homeland Security and Emergency Services

1220 Washington Ave.
State Office Bldg. Campus, Bldg. 7A
Albany, NY 12242

LOCAL, COUNTY AND TRIBAL LAW ENFORCEMENT AGENCIES

Fiscal Year 2016 Tactical Rescue and USAR Team Grant Program

Fiscal Year 2016 Tactical Team Grant Program seeks applications for up to $100,000 in federal State Homeland Security Program funding made available by the NYS Division of Homeland Security and Emergency Services (DHSES). The focus of this grant opportunity is to improve a tactical team's capabilities and help to develop new response capabilities as it relates to high-risk incidents including active shooter events and other counter terrorism missions.

Grants will be awarded to local, county, and tribal law enforcement agencies with an active tactical team as part of their law enforcement operations that responds to calls for service outside of a correctional setting. The four primary objectives of this grant are to: 1) Advance tactical team capabilities through the attainment and sustainment of the minimum standards within this community; 2) Encourage and support training among law enforcement specialty teams to include bomb squads and explosive detection canine teams; 3) Promote regional partnerships in the development and build-out of mutual tactical team capabilities, and 4) Participate in DHS's Office for Bombing Prevention's (DHS-OBP) SWAT Capability Analysis Program.

Applications will be accepted from August 16, 2016 through 11:59 PM on September 16, 2016 through the New York State's Division of Homeland Security and Emergency Services' (NYS-DHSES) electronic grants management system (E-Grants).

For the Request for Applications (RFA) please visit the DHSES website at http://www.dhses.ny.gov/grants/targeted.cfm or DHSES's Grant Hotline at (866) 837-9133.

Division of Homeland Security and Emergency Services

1220 Washington Ave.
State Office Bldg. Campus, Bldg. 7A
Albany, NY 12242

MUNICIPALITIES

Fiscal Year 2016 Technical Rescue and USAR Team Grant Program

Fiscal Year 2016 Technical Rescue & USAR Team Grant Program seeks applications for up to $150,000 in federal State Homeland Security Program funding made available by the NYS Division of Homeland Security and Emergency Services (DHSES). The focus of this grant opportunity is to develop and support Technical Rescue & USAR team capabilities.

Grants will be awarded to municipalities on behalf of local emergency response teams that provide Technical Rescue & USAR services countywide or regionally. The three primary objectives of this grant are to: 1) Advance Technical Rescue & USAR capabilities statewide; 2) Encourage the development of Regional Response Partnerships to enhance multi-jurisdictional response capabilities; and 3) Increase the resource typing of Technical Rescue & USAR resources in New York State.

Applications will be accepted August 16, 2016 through 11:59 PM on September 16, 2016 through the New York State's Division of Homeland Security and Emergency Services' (NYS-DHSES) electronic grants management system (E-Grants).

For the Request for Applications (RFA) please visit the DHSES website at http://www.dhses.ny.gov/grants/targeted.cfm or DHSES's Grant Hotline at (866) 837-9133.

MISCELLANEOUS NOTICES/HEARINGS

Notice of Abandoned Property Received by the State Comptroller

Pursuant to provisions of the Abandoned Property Law and related laws, the Office of the State Comptroller receives unclaimed monies and other property deemed abandoned. A list of the names and last known addresses of the entitled owners of this abandoned property is maintained by the office in accordance with Section 1401 of the Abandoned Property Law. Interested parties may inquire if they appear on the Abandoned Property Listing by contacting the Office of Unclaimed Funds, Monday through Friday from 8:00 a.m. to 4:30 p.m., at:

1-800-221-9311
or visit our web site at:
www.osc.state.ny.us

Claims for abandoned property must be filed with the New York State Comptroller's Office of Unclaimed Funds as provided in Section 1406 of the Abandoned Property Law. For further information contact: Office of the State Comptroller, Office of Unclaimed Funds, 110 State St., Albany, NY 12236.

PUBLIC NOTICE

City of Corning

The City of Corning is soliciting proposals from Administrative Service Agencies and Financial Organizations for services in connection with a Deferred Compensation Plan that will meet the requirements of Section 457 of the Internal Revenue Code and the "Rules and Regulations" [Parts 9000 to 9006 of Subtitle II of Title 9 NYCRR ("Subtitle II")] promulgated by the New York State Deferred Compensation Board pursuant to the authority granted by the State Finance Law, Article 2, Section 5.

A copy of the proposed questionnaire may be obtained from: Kathryn Koegel, Finance Director, City of Corning, 500 Nasser Civic Center Plaza, Corning, NY 14830, (607) 962-0340 ext. 1149, corningfinance@stny.rr.com

All proposals must be submitted by October 7, 2016.

PUBLIC NOTICE

Department of Civil Service

PURSUANT to the Open Meetings Law, the New York State Civil Service Commission hereby gives public notice of the following:

Please take notice that the regular monthly meeting of the State Civil Service Commission for September 2016 will be conducted on September 13 and September 14 commencing at 10:00 a.m. This meeting will be conducted at NYS Media Services Center, Suite 146, South Concourse, Empire State Plaza, Albany, NY.

For further information, contact: Office of Commission Operations, Department of Civil Service, Empire State Plaza, Agency Bldg. 1, Albany, NY 12239, (518) 473-6598

PUBLIC NOTICE

Office of Fire Prevention and Control

Pursuant to Section 176-b of the Town Law, the Office of Fire Prevention and Control hereby gives notice of the following:

Application for Waiver of the Limitation on Non-Resident Members of Volunteer Fire Companies

An application for a waiver of the requirements of paragraph a of subdivision 7 of section 176-b of the Town Law, which limits the membership of volunteer fire companies to forty-five per centum of the actual membership of the fire company, has been submitted by the Carmel Fire Department, Inc., County of Putnam.

Pursuant to section 176-b of the Town Law, the non-resident membership limit shall be waived provided that no adjacent fire department objects within sixty days of the publication of this notice.

Objections shall be made in writing, setting forth the reasons such waiver should not be granted, and shall be submitted to:

Bryant D. Stevens
State Fire Administrator
Office of Fire Prevention and Control
1220 Washington Ave.
Bldg. 7A, Fl. 2
Albany, NY 12226

Objections must be received by the State Fire Administrator within sixty days of the date of publication of this notice.

In cases where an objection is properly filed, the State Fire Administrator shall have the authority to grant a waiver upon consideration of (1) the difficulty of the fire company or district in retaining and recruiting adequate personnel; (2) any alternative means available to the fire company or district to address such difficulties; and (3) the impact of the waiver on adjacent fire departments.

For further information, please contact: FPS Mackenzie A. Jewell, Office of Fire Prevention and Control, 1220 Washington Ave., Bldg. 7A, Fl. 2, Albany, NY 12226, (518) 474-6746, Mackenzie.Jewell@dhses.ny.gov

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for non-institutional services. The following changes are proposed:

As previously noticed August 17, 2016 effective September 1, 2016 through November 30, 2016 the State will continue to reimburse converted Targeted Case Management (TCM) providers at their existing Health Home Legacy rates. Health Home per member rates, for Health Home providers including TCM providers, that are based on three tiers "High, Medium, Low", acuity, functional status, and region and a uniform case finding fee, which were currently scheduled to take effect on September 1, 2016, will now become effective on December 1, 2016. Health Home per member rates to implement court orders for Assisted Outpatient population (Health Home Plus) and the Adult Home population will remain in effect and unchanged.

The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2016/2017 is $ 17.6 million. The public is invited to review and comment on this proposed State Plan Amendment. Copies of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status.

Copies of the proposed State Plan Amendments will be on file in each local (county) social services district and available for public review.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact: Department of Health, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1460, Albany, NY 12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for non-institutional services to comply with enacted statutory provisions. The following changes are proposed:

Non-Institutional Services

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan related to temporary rate adjustments for general hospitals that are undergoing a closure, merger, consolidation, acquisition or restructuring of themselves or other health care providers. These payments are currently authorized by current State statutory and regulatory provisions. The following significant and clarifying changes are as follows:

Additional temporary rate adjustments have been reviewed and approved for an Article 31 clinic operated by Claxton-Hepburn Medical Center with aggregate payment amounts totaling up to $327,582 for the period December 1, 2016 through March 31, 2017; $838,656 for the period April 1, 2017 through March 31, 2018; $852,363 for the period April 1, 2018 through March 31, 2019; and $569,818 for the period April 1, 2019 through December 31, 2019.

The public is invited to review and comment on this proposed State Plan Amendment (SPA). Copies of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. In addition, approved SPA's beginning in 2011, are also available for viewing on this website.

Copies of the proposed State Plan Amendments will be on file in each local (county) social services district and available for public review.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact: Department of Health, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1460, Albany, NY 12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of State

The New York State Appearance Enhancement Advisory Committee will hold an open board meeting on October 12, 2016 at 10:30 a.m. at the New York State Department of State, 99 Washington Avenue, 5th Floor Conference Room (alternate Room 1135), Albany; 65 Court Street, 2nd Floor Conference Room, Buffalo; and, 123 William Street, 2nd Floor Conference Room, New York City.

Should you require further information, please contact Sharon Charland at sharon.charland@dos.ny.gov or 518-473-2733.

PUBLIC NOTICE

New York State and Local Retirement System

Pursuant to Retirement and Social Security Law, the New York State and Local Employees' Retirement System hereby gives public notice of the following:

The persons whose names and last known addresses are set forth below appear from records of the above named Retirement System to be entitled to accumulated contributions held by said retirement system whose membership terminated pursuant to Section 40, Subdivision f, of the Retirement and Social Security Law on or before July 31, 2016. This notice is published pursuant to Section 109 of the Retirement and Social Security Law of the State of New York. A list of the names contained in this notice is on file and open to public inspection at the office of the New York State and Local Retirement System located at the 110 State St., in the City of Albany, New York. At the expiration of six months from the date of the publication of this notice. The accumulated contributions of the persons so listed shall be deemed abandoned and shall be placed in the pension accumulation fund to be used for the purpose of said fund. Any accumulated contributions so deemed abandoned and transferred to the pension accumulation fund may be claimed by the persons who made such accumulated contributions or, in the event of his death, by his estate or such person as he shall have nominated to receive such accumulated contributions, by filing a claim with the State Comptroller in such form and in such a manner as may be prescribed by him, seeking the return of such abandoned contributions. In the event such claim is properly made the State Comptroller shall pay over to the person or persons or estate making the claim such amount of such accumulated contributions without interest.

Eggelton,Michael J - Wallkill,NY

For further information contact: Marrianne Miller, New York State Retirement Systems, 110 State St., Albany, NY 12244, (518) 474-3502

PUBLIC NOTICE

New York State and Local Retirement System

Pursuant to Retirement and Social Security Law, the New York State and Local Employees' Retirement System hereby gives public notice of the following:

The persons whose names and last known addresses are set forth below appear from records of the above named Retirement System to be entitled to accumulated contributions held by said retirement system whose membership terminated pursuant to Section 517-a of the Retirement and Social Security Law on or before July 31, 2016. This notice is published pursuant to Section 109 of the Retirement and Social Security Law of the State of New York. A list of the names contained in this notice is on file and open to public inspection at the office of the New York State and Local Retirement System located at the 110 State St., in the City of Albany, New York. At the expiration of six months from the date of the publication of this notice. The accumulated contributions of the persons so listed shall be deemed abandoned and shall be placed in the pension accumulation fund to be used for the purpose of said fund. Any accumulated contributions so deemed abandoned and transferred to the pension accumulation fund may be claimed by the persons who made such accumulated contributions or, in the event of his death, by his estate or such person as he shall have nominated to receive such accumulated contributions, by filing a claim with the State Comptroller in such form and in such a manner as may be prescribed by him, seeking the return of such abandoned contributions. In the event such claim is properly made the State Comptroller shall pay over to the person or persons or estate making the claim such amount of such accumulated contributions without interest.

Breese,Nathan E - Port Byron, NY

Vaughan,Susan C - Orchard Park, NY

PUBLIC NOTICE

New York State and Local Retirement System

Pursuant to Retirement and Social Security Law, the New York State and Local Employees' Retirement System hereby gives public notice of the following:

The persons whose names and last known addresses are set forth below appear from records of the above named Retirement System to be entitled to accumulated contributions held by said retirement system whose membership terminated pursuant to Section 613 of the Retirement and Social Security Law on or before July 31, 2016. This notice is published pursuant to Section 109 of the Retirement and Social Security Law of the State of New York. A list of the names contained in this notice is on file and open to public inspection at the office of the New York State and Local Retirement System located at the 110 State St., in the City of Albany, New York. At the expiration of six months from the date of the publication of this notice. The accumulated contributions of the persons so listed shall be deemed abandoned and shall be placed in the pension accumulation fund to be used for the purpose of said fund. Any accumulated contributions so deemed abandoned and transferred to the pension accumulation fund may be claimed by the persons who made such accumulated contributions or, in the event of his death, by his estate or such person as he shall have nominated to receive such accumulated contributions, by filing a claim with the State Comptroller in such form and in such a manner as may be prescribed by him, seeking the return of such abandoned contributions. In the event such claim is properly made the State Comptroller shall pay over to the person or persons or estate making the claim such amount of such accumulated contributions without interest.

Abramson-Singh,Brooke E - Vestal, NY

Agnello-Vazquez,Jacqueline M - New Rochelle, NY

Alexander,Shawn - New York, NY

Alisca,Gillonne M - Cape Coral, FL

Amidon,Eric R - Bay Shore, NY

Anderson,Gregory T - New York, NY

Anderson,Jon C - Jamestown, NY

Anderson,Mercedes E - Hyattsville,MD

Andrews,Sara - Pleasantville, NY

Angelo,Brandon B - Penfield, NY

Aprigliano,Justine - Centereach, NY

Ashley,Kristen - Potsdam, NY

Atkinson,Jamie R - Oakdale, NY

Babin,Lisa M - Loudonville, NY

Bacich,Dawn L - Cicero, NY

Bage,Karen M - Potsdam, NY

Bailey,Theresa M - Liverpool, NY

Barahona,Carlos B - Freeport, NY

Barrows,Glen S - Williamsport, PA

Barvinchak,Jamie M - Binghamton, NY

Bauman,Michelle L - Hicksville, NY

Beaudoin Sprague,Joanne M - Norfolk, NY

Becker,Shanna M - Berne, NY

Bennett,Jonathan R - Mebane,NC

Beresford,Bryan R - Carmel, NY

Bereznak, Mary Beth - Carmel, NY

Bergreen,Rebecca M - W Lafayette,IN

Bertrand,Alyssa S - Ballston Spa, NY

Betler,Stacey M - St Johnsville, NY

Bieber,Jodi E - Plainview, NY

Bigness,Nicole D - Syracuse, NY

Bily,Gretchen J - Highland Mills, NY

Birch,Damon J - New York, NY

Blachura-Hong,Donnette - East Amherst, NY

Blumenfeld,Melissa J - Danville,CA

Bolles,Andrew J - West Seneca, NY

Bongiovi,Trudy C - Greenwich, NY

Bouck,James D - Middleburgh, NY

Bracey, Patricia A - Rouses Point, NY

Brancato,Vincent A - Yonkers, NY

Branch,Michael J - Riverhead, NY

Brennan,Aaron M - Lackawanna, NY

Bridges,Julie A - Wellsburg, NY

Brill,Michael F - Brewster, NY

Brown,Eunice R - Binghamton, NY

Budaty,Jayaprada - Albany, NY

Bugenhagen,Edward M - Eden, NY

Buhr,Kori B - Homer, NY

Bullett,Donald J - Cohoes, NY

Bunch,Heather - Kingston, NY

Burch,Michael A - Frewsburg, NY

Bushey,Jennifer J - Cortland, NY

Bussey,Leo F - Saranac Lake, NY

Butler,Benjamin K - Niagara Falls, NY

Buttel,Doris T - Walton, NY

Byrd,Ulas - Wyandanch, NY

Cabibbo,Daniel - Newburgh, NY

Caccavone,Laura E - Warwick, NY

Cain,Keiasha B - Guilderland, NY

Calascione,Emily - Bedford Corners, NY

Callaghan,Camillia A - Springfield Gardens, NY

Canaan,Stephanie A - East Islip, NY

Cannon,Jacqueline K - Riverhead, NY

Caramanica,Rosanna - Huntington, NY

Carlson,Kristine M - Rochester, NY

Caro, Maria P - Milford, PA

Carroll,Rita A - Rochester, NY
Carter,Thomas R - Ronkonkoma, NY
Casey,Ann Marie - Sound Beach, NY
Centurion,Juan A - Valley Stream, NY
Charles-Cato,Rondah M - Delmar, NY
Charmello,Jennifer D - High Falls, NY
Chery,Josue - Mastic, NY
Chintarlapalli,Haritha - Babylon, NY
Chojecki,Aaron A - Schenectady, NY
Chrysler,Benjamin F - Baldwinsville, NY
Ciccarello,Kristen N - Floral Park, NY
Cipolla-Youst,Tina M - Rochester, NY
Clement,Tamra A - Fredonia, NY
Clotfelter,William - Depew, NY
Coan,Veronica G - Rochester, NY
Coffman,Taylor J - Laurel,MS
Coleman,Thomas - Deer Park, NY
Comfort,Brandon D - Ithaca, NY
Connaughton,Jaime Lyn - Mastic, NY
Connelly,Shawn J - Elmira, NY
Conticello, Paula M - Hauppauge, NY
Cook,Jeffrey K - Rochester, NY
Cooney,Carrie - Williston Pk, NY
Cooper,Justin M - Warwick, NY
Costisick,Virginia M - Galway, NY
Craven,Shannon - Monroe, NY
Croop,Kevin L - Binghamton, NY
Cunniff,Leigh T - Southampton, NY
Currie,Amy Y - Homer, NY
Czegledi,Susi - Carle Place, NY
Dalbo,Thomas J - Poughkeepsie, NY
Daly,Cynthia M - Babylon, NY
Damato,Larissa M - Coram, NY
Daniel,Wanda A - Raleigh,NC
Davidson,Melissa R - Marlboro, NY
Davis,Linda M - Medford, NY
Davis,Scott A - Ticonderoga, NY
De Bellis,Linda A - Ballston Lake, NY
De Cicero,Robert - Melville, NY
De Pasquale,Leonard M - Schenectady, NY
De Sousa,Kathleen - Farmingdale, NY
De Void,Louretta M - Celoron, NY
Dedrick,Terri L - Kingston, NY
Del Vecchio,Laurie A - Churchville, NY
Dewitt,Tiffany J - Cuba, NY
Di Buono,Eric T - Burbank,CA
Diaz,Eliu - Bronx, NY
Dieffenbacher,Amy J - Endicott, NY
Donato-Haffey,Diane C - Glenville, NY
Donnaruma,Jacqueline E - Delmar, NY
Dooley,Carolyn M - Brooklyn, NY
Dorner,Anthony - Sayville, NY
Downer,Lance M - Beacon, NY
Drake,Sean M - Bay Shore, NY
Drazan,John F - Troy, NY
Driever,Juliana - Scarsdale, NY
Drummond,Daniel B - Canastota, NY
Du Bois,Alison M - Poughkeepsie, NY
Duell,Morgan J - Boston, MA
Duffy,Jennifer - Nanuet, NY
Eaton,Jeremy N - Ontario, NY
Ecker,Mindy H - Youngsville, PA
Edwards,Erin M - Attica, NY
Edwards,Vickie R - Albany, NY
Ellis,Sylvia J - Pine Valley, NY
Elwood,Melissa M - Port Jervis, NY
Enriquez,Jose M - San Lorenzo,PR
Evans,Colleen H - Riverhead, NY
Fagan Polidori,Cecilia M - Herkimer, NY
Falvey,Kyle E - New Rochelle, NY
Fazioli,Michelle K - Ticonderoga, NY
Felipe,Barbara - Bronx, NY
Felix,Carrie E - Potsdam, NY
Ferracciolisloan,Gina M - Endicott, NY
Ferry,Christine K - Rochester, NY
Filion,Krista M - Churubusco, NY
Fitzgerald,Kiera R - Albany, NY
Flynn,Christel C - Red Hook, NY
Forbes-Ross,Susie S - Brooklyn, NY
Frank,Diana L - Webster, NY
Frankl,Dana T - Oneonta, NY
Frederick,Tymel J - Medford, NY
Frisch,Megan H - Spencerport, NY
Fuhrer,Diana-Louise M - Levittown, NY
Galizia,Jenna A - Garden City, NY
Garcia,Anna F - Fresh Meadows, NY
Garner,Heidi - Blauvelt, NY
George,Jason - Clay, NY
Gerhart,Lael S - Berkeley,CA
Getter, Margaret M - Huntington, NY
Gilligan,Melissa L - Sayville, NY
Girantino,Linda Jo - Utica, NY
Glosser,David J - Cortlandt Manor, NY
Goetsch,Naomi L - Hiram,GA
Gogos, Paraskevi V - Webster, NY
Goliszek,Elizabeth M - Tonawanda, NY
Gomez,Nazaret E - Brooklyn, NY
Gonzalez,Letisia - West Lawn, PA
Gonzalez,Rolando D - Bronx, NY
Gormley,Daniel L - Elbridge, NY
Graham,Amy L - New Paltz, NY
Greco,Juliette M - Webster, NY
Green,Erin F - Binghamton, NY
Greenwood,Dona J - Oneida, NY
Gregory,Richard W - Stamford, CT
Grenier,Randall J - Geneva, NY
Griffin,Randall B - Fulton, NY
Grigoratos,Christina - Mattituck, NY
Guerra,Kevin J - Myrtle Beach,SC
Guiffreda,Anthony R - Fredonia, NY
Hadden,Daryl R - Binghamton, NY
Hagenah,Theresa M - Somers, NY
Hamm,Brian M - Syracuse, NY
Hamparian, Debra - West Sayville, NY
Hartman,Anthony T - Niagara Falls, NY
Haswell, Mary Beth - Skaneateles, NY
Henry,Tina M - Canandaigua, NY
Herelle,Theresa A - Brooklyn, NY

Hernandez, Maria E - Central Islip, NY
Herrin,Karen M - Franklin Square, NY
Hickson,Candace G - New York, NY
Higgins,Laura E - Smithtown, NY
Hill,Albert J - Syracuse, NY
Hilliard,Caitlin A - Hudson, NY
Hogan,Valorie J - Berkshire, NY
Holden,Sheila A - Endicott, NY
Horsham-Brathwaite,Steve - Freeport, NY
Horton,Jennifer M - W Henrietta, NY
Howard,Rebecca A - Cuba, NY
Hughes,Jillian M - Malverne, NY
Igin,Corina - Forest Hills, NY
Irwin,Amanda J - Penn Yan, NY
Isabella,Lisa D - Delanson, NY
Jeerings,Jennifer M - Oakfield, NY
Jipson,Jeffery M - Baldwinsville, NY
Johnson,Eileen O - Clifton Park, NY
Johnson,Lucie M - Kenmore, NY
Johnson,Nathaniel C - Dolgeville, NY
Johnson,Nathaniel T - Watchung, NJ
Johnston, Deanna - Stony Brook, NY
Jones,Jacquelin L - Beacon, NY
Jones,Kelsey H - Brooklyn, NY
Joseph,Ketsia - Ossining, NY
Judge,Elizabeth S - Syracuse, NY
Kalfas,Kim M - Dunkirk, NY
Keane, Paul J - Hampton Bays, NY
Kehr,Thomas W - Lawtons, NY
Kelly,Brigid A - Philadelphia, PA
Kenner,Alison M - Philadelphia, PA
Keute,Judith V - West Coxsackie, NY
King-Hunte,Soniamae N - Brooklyn, NY
King,Colin - Glenmont, NY
Kinsey,Melissa S - Penn Yan, NY
Klein,Joel R - Schenectady, NY
Kopel,Rena M - Honeoye Falls, NY
Kowiak,Josanne E - Fairport, NY
Kozlowski,Erin A - Candor, NY
Krupa,Ewa - Warwick, NY
Kulesa,Jessica A - Patchogue, NY
La Pointe,Michael G - Watervliet, NY
Lainez,Yulissa S - Brentwood, NY
Lambert,Jessica G - Marcellus, NY
Landrio,Stephanie M - Montague, NJ
Lane,Craig T - Liverpool, NY
Lanfair,Amber R - Oxford, NY
Langsam,Emily K - Armonk, NY
Lanier,Melenie V - Buffalo, NY
Lanni,Chasity L - Caledonia, NY
Larkin,Regina C - Poughkeepsie, NY
Lauria, Maura A - Floral Park, NY
Law,Kelly - Middle Village, NY
Lawton,Heather A - Clifton Park, NY
Lee,Roberta A - Kenmore, NY
Lemmo,Brian H - Liverpool, NY
Leone,Joann A - West Babylon, NY
Lewis,Keshia - Fayetteville,NC
Little, Paul C - Whitehall, NY
Livinsky,Rostislav - Oceanside, NY
Logan,Emily A - Shoreham, NY
Long,Justin R - Detroit,MI
Lott-Villa,Vicky A - Albany, NY
Louer, Mary O - Hamburg, NY
Louie,Karen L - Brooklyn, NY
Lowden,Dana L - Peekskill, NY
Lum,Robert J - Riverhead, NY
Lund, Patience - Lake Katrine, NY
Luther,Christopher J - Elmira, NY
Luthy,Michael R - Medford, NY
Lutomski,Elizabeth M - Macedon, NY
Lynch, Marlon K - New Rochelle, NY
Lysogorski, Mark W - Westtown, NY
Maggard,Brenda-Sue - Holtsville, NY
Mahmud,Salma - Jamaica, NY
Mancini,Francis M - Glen Cove, NY
Maneely,Nicholas J - Canton, NY
Manwarren,Christopher P - Oxford, NY
Mapes,Jodi A - Akron, NY
Marchese,Sheila M - Corfu, NY
Mark,Naomi T - Dansville, NY
Marron,Jennifer E - Rochester, NY
Marrone, Mary Ellen - Snyder, NY
Martucci,Vincent M - Levittown, NY
Matichak,Stephen D - Palmyra, NY
Matos,Luis M - Avon, NY
Matte,Edmund E - Argyle, NY
Mayfield,Lakisha M - Buffalo, NY
Maziarz,Carrie L - Ashland,VA
Mc Call,Ciara C - Buffalo, NY
Mc Call,Keionna D - Buffalo, NY
Mc Candless,Jenel L - North Tonawanda, NY
Mc Clellan,Joy L - Westbury, NY
Mc Curdy,Joseph C - Mt Vernon, NY
Mc Dermott,Kelly L - Springwater, NY
Mc Dermott,Sandra L - Lindenhurst, NY
Medick,Daniel P - Ballston Spa, NY
Menegay,Eileen N - Amherst, NY
Mengani,Christine M - Salisbury Mills, NY
Mikell,Monique T - Bearsville, NY
Milland,Constance - Milford, PA
Miller,Colin T - San Jose,CA
Missan,Cari D - Auburn, NY
Misso,Diana M - Orchard Park, NY
Mizell,Thelma L - Jackson, NJ
Moesel,Allison A - Adams Center, NY
Mole,Kevin M - Portville, NY
Monteleone,Michael D - Calverton, NY
Moore,Christopher G - Minoa, NY
Morales,Giomara J - Central Islip, NY
Morehouse,Samantha R - Queensbury, NY
Morena,Anthony - Coram, NY
Morrow,Rianna - La Fargeville, NY
Mott,Chad S - North Baldwin, NY
Mullings,Charlene A - Mt Vernon, NY
Mumin,Sayyed - Schenectady, NY
Muratore,Concetta M - Yonkers, NY
Murns,Curtis H - Callicoon, NY

Mushalla, Matthew M - Vestal, NY
Nanton,Christopher K - New York, NY
Nason, Maxwell T - Saranac Lake, NY
Naylon,Samuel P - Buffalo, NY
Newsom,Michael P - Plattsburgh, NY
Newton,Kathryn F - Valley Falls, NY
Ngo,Dinh Van - Binghamton, NY
Nicolosi, MAria - White Plains, NY
Nietupski,Daniel S - Mattituck, NY
Novello,Giovanna - White Plains, NY
O'Connell, Patricia - Levittown, NY
O'Sullivan,Jessica D - Mebane,NC
Oehlbeck,Lorraine M - Cohocton, NY
Ogbueze,Kenneth N - Dallas, TX
Ogude,Belinda L - Bronx, NY
Opipari,Krystal - Penfield, NY
Orelien,Iclairdene - Binghamton, NY
Overton,Chanel I - N Babylon, NY
Owens,Micah - Elmira, NY
Pagliaro,Jacquelyn K - Bronx, NY
Palacpac,Virgilio N - Wilton, CT
Palmeri,Annmarie - Rochester, NY
Pandori,Sara L - Broadalbin, NY
Pangborn,James E - Piscataway, NJ
Parascandola,Keith J - Staten Island, NY
Parmelee,Tina M - Millport, NY
Pasquariello, PAtricia - Bethpage, NY
Pecorino,Alyssa A - Floral Park, NY
Pendergast,Brandi J - Liverpool, NY
Pepa,David M - Smithtown, NY
Perino,Theresa L - Smithtown, NY
Perrotte,Shane M - Morrisonville, NY
Peterson, Dennis P - Farmingdale, NY
Petrera,Katharine A - New City, NY
Phinsee,Gloria Y - Mamaroneck, NY
Piccolo,Michael J - Valhalla, NY
Pittelman,Laura E - Kingston, NY
Pleitez, Mayra I - Bay Shore, NY
Poinsette,Shenikqua L M - Yonkers, NY
Polasik,Courtney E - Tonawanda, NY
Pollan,Nicole M - Greenlawn, NY
Powell,Celina L - Dansville, NY
Previti,Alicia M - Hempstead, NY
Proper, Marticia - Great Barrington, MA
Provet,Anne G - Hastings Hdsn, NY
Pryor,Lisa - S Setauket, NY
Pyros,Kim - Farmingdale, NY
Rainey,Fred - New Hyde Park, NY
Ramos,Betsaida - Peekskill, NY
Rapp,Kyle - Shirley, NY
Rath,Katherine S - Hamlin, NY
Rau,Kathleen L - Penfield, NY
Raymond,Antoinette A - Lockport, NY
Regueiro, Patricia L - East Quogue, NY
Reilly,Nora K - Glen Ridge, NJ
Renaldo,David P - Hamburg, NY
Renner,Renee - Shrewsbury, PA
Richer,Terri L - Elmira, NY
Ritchie, Mary Kate - Sayville, NY
Rivera,Lisa - South Fallsburg, NY
Rivera,Yenis D - Stratford, CT
Roberts,Benjamin P - Clifton Park, NY
Roc,Nadege B - Forest Hills, NY
Rock,Aimee R - Rochester, NY
Rodriguez,Ruby - Beeville, TX
Rodriguez,Virginia L - Middle Island, NY
Romines,Amanda L - Schenectady, NY
Rooney, Mary J - North Merrick, NY
Roper,Tommy R - Edmeston, NY
Rosado, Marysol - Buffalo, NY
Rosario,Felix A - Tarrytown, NY
Rosie,Justin P - Buffalo, NY
Roskowski,Samantha S - Medina, NY
Rotzman,Michael J - Islip Terrace, NY
Rousell,Keri A - Constable, NY
Roviezzo,Christine - West Harrison, NY
Rue,Earl - Brooklyn, NY
Ruland,Tara Marie - Lake Grove, NY
Rusinski,James R - Lancaster, NY
Russell,Alicia M - Kingston, NY
Russo,Anthony M - Lynbrook, NY
Salgado,Humberto - Davenport, FL
Sanabria,Myriam Y - Mamaroneck, NY
Santiago,Dominick W - Harrisburg, PA
Santiago,Javon L - Freeport, NY
Santic,Laura - Tomkins Cove, NY
Saper,Rayna J - Orange, CT
Sardina, Maria V - Richmond Hill,GA
Sarpinskiyi,Boris - Fairborn,OH
Sartori-Eneman,Jami - Hewlett, NY
Saueressig,Steven - Plainview, NY
Scally,Fay E - Franklin Sq, NY
Scherzinger, PAtricia H - Valley Stream, NY
Schmitt,Rebecca L - Ellicottville, NY
Schwartz,Judith M - Massapequa, NY
Scoma,Meghan K - Buffalo, NY
Seabury,Rahsaan A - East Patchogue, NY
Seidel,Cheryl H - Cortland, NY
Seyfried,Jodi M - Fairport, NY
Shahin,Sufyan - Niskayuna, NY
Shanley,William E - Rome, NY
Shepard,Timberly L - Hornell, NY
Shephard,Beth A - Las Vegas, NV
Sher,James F - Menands, NY
Shrestha,Kamlesh - Valley Stream, NY
Siebner,Lori A - Bethpage, NY
Silliman,Leah N - Boonville, NY
Simerson,Jennifer L - Lisle, NY
Simmons,Katherine R - St Albans, NY
Simonelli,John M - Farmingville, NY
Slocum,Bridget M - Trumansburg, NY
Smith,Erin G - Bolivar, NY
Soto,Susan E - Southampton, NY
Spencer,Andrea L - Ithaca, NY
Stanco,Luigina C - Oceanside, NY
Stapleton,Edward R - Port Jefferson, NY
Steciuk,John - Troy, NY
Storto,Brenda M - Central Square, NY

Strate,Ryan W - Canton, NY
Strouse,Stephanie I - Gloversville, NY
Struble,Charles F - Hinsdale, NY
Styles,Shani N - Elmira, NY
Sullivan,Miracle N - Poughkeepsie, NY
Sullivan,Samuel E - Stafford, NY
Surdey,Michael F - Binghamton, NY
Swartz,Le Roy J - Burdett, NY
Szeles, Deborah A - Byron, NY
Tassone,Nicodemi E - Brewerton, NY
Tavano,Michael R - Sleepy Hollow, NY
Taylor-Salamaca,Sarah M - Rochester, NY
Taylor,Michael A - Jamestown, NY
Teape,Kelly A - Kings Park, NY
Tent,Tara L - Canton, NY
Thomas,Emily - Fairport, NY
Thomas,Nithi - Norristown, PA
Thomas,Tia M - Rockford,IL
Thompson, Patricia A - New Rochelle, NY
Thornhill,Alexis J - Jamaica, NY
Thorpe,Sharon - Brooklyn, NY
Thurston,Chloe A - Smyrna, NY
Tomasulo,William J - E Atlantc Bch, NY
Townsend,Daniel G - Auburn, NY
Townsend,Jan E - Endicott, NY
Traversa,John A - Yonkers, NY
Trinca-Conley,Carla J - Derby, NY
Turcotte,Kelly A - Queensbury, NY
Ulrich,Lucia M - Huntington Station, NY
Underhill, Pamela A - Fairport, NY
Van Atta,Angela A - Horseheads, NY
Vanable,Arthur Lee - Roosevelt, NY
Vasko,Ryan R - Lockport, NY
Vinnitskaya,Yu Liya - Brooklyn, NY
Vivas,Pedro - Valley Stream, NY
Voutsinas, Denisa E - Muttontown, NY
Vura-Weis,Lisa E - Somerville, MA
Wade,Melody L - Marcellus, NY
Wallon,Taryn E - North Syracuse, NY
Walsh,Jackie E - Freeport, NY
Walsh, Matthew D - Purchase, NY
Walyzada,Fazila S - Central Islip, NY
Ward,Victoria D - Mount Vernon, NY
Warrington,Claudia - Baldwin, NY
Weaver, Deborah T - Queensbury, NY
Weidright,David R - Rochester, NY
Weinreber,Jeana M - Sebastian, FL
Werner,Christian A - Stormville, NY
Wetzler,Joseph B - Hamburg, NY
White,Zonker K - Westford,VT
Whiteman,Stephanie A - Dansville, NY
Wilhelm,Heather M - Newark, DE
Williams,Heather L - Averill Park, NY
Williams,Leona R - Poughkeepsie, NY
Willis,Chad M - Horseheads, NY
Wills,Ruben W - St Albans, NY
Winderl,Carol - Blue Point, NY
Wingerter,Nancy A - Snyder, NY
Winley,Sonjia R - Brooklyn, NY
Wintner,Dawn M - Wappingers Falls, NY
Womack,G Al - Williamstown, NY
Wood,Monique M - East Nassau, NY
Woodruff, Deborah A - Tucson, AZ
Woods,Janet M - Blue Point, NY
Wu,Heather E - Commack, NY
Young, Demetrik J - Amherst, NY
Young,Inez - Nesconset, NY
Youngs,Kimberly S - Horseheads, NY
Zammiello,Jo Anna F - Bensalem, PA

CONCURRENT RESOLUTIONS

Pursuant to the provisions of section one of Article nineteen of the Constitution of the State of New York, notice is hereby given that the following proposed amendments (one and two) to the Constitution of the State of New York are referred to the Legislature to be chosen at the next general election to be held on the eighth day of November 2016. New matter added is **bold** *and* *underscored*. **Bold** *and* ~~*strikeout*~~ *matter in brackets is to be omitted.*

PROPOSED AMENDMENT
NUMBER ONE

A.10721-A

CONCURRENT RESOLUTION OF THE SENATE AND ASSEMBLY

proposing an amendment to article 14 of the constitution, in relation to allowing public utility lines and bicycle paths on certain state lands in the forest preserve and establishing a forest preserve health and safety land account

Section 1. Resolved (if the Senate concur), That section 1 of article 14 of the constitution be amended by adding a new undesignated paragraph to read as follows:

Notwithstanding the foregoing provisions and subject to legislative approval prior to actual transfer of title, a total of no more than two hundred fifty acres of forest preserve land shall be used for the establishment of a health and safety land account. Where no viable alternative exists and other criteria developed by the legislature are satisfied, a town, village or county may apply, pursuant to a process determined by the legislature, to the health and safety land account for projects limited to: address bridge hazards or safety on county highways, and town highways listed on the local highway inventory maintained by the department of transportation, dedicated, and in existence on January first, two thousand fifteen, and annually plowed and regularly maintained; elimination of the hazards of dangerous curves and grades on county highways, and town highways listed on the local highway inventory maintained by the department of transportation, dedicated, and in existence on January first, two thousand fifteen, and annually plowed and regularly maintained; relocation and reconstruction and maintenance of county highways, and town highways listed on the local highway inventory maintained by the department of transportation, dedicated, and in existence on January first, two thousand fifteen and annually plowed and regularly maintained, provided further that no single relocated portion of any such highway shall exceed one mile in length; and water wells and necessary appurtenances when such wells are necessary to meet drinking water quality standards and are located within five hundred thirty feet of state highways, county highways, and town highways listed on the local highway inventory maintained by the department of transportation, dedicated, and in existence on January first, two thousand fifteen, and annually plowed and regularly maintained. As a condition of the creation of such health and safety land account the state shall acquire two hundred fifty acres of land for incorporation into the forest preserve, on condition that the legislature shall approve such lands to be added to the forest preserve.

§ 2. Resolved (if the Senate concur), That article 14 of the constitution be amended by adding a new section 6 to read as follows:

§ 6. Where state, county, or town highways listed on the local highway inventory maintained by the department of transportation, dedicated and in existence on January first, two thousand fifteen, and annually plowed and regularly maintained, traverse forest preserve land, public utility lines, limited to electric, telephone, broadband, water or sewer lines as defined in law, may, consistent with standards and requirements set forth in law, and following receipt of all permits or authorizations required by law, be buried or co-located within the widths of such highways as defined in law, and bicycle paths may, consistent with standards and requirements set forth in law, and following receipt of all permits or authorizations required by law, be constructed and maintained within the widths of such highways, as defined in law; provided, however, when no viable alternative exists and when necessary to ensure public health and safety, a stabilization device for an existing utility pole may be located in proximity to the width of the road, as defined in law; provided further, that any co-location, burial, maintenance or construction shall minimize the removal of trees or vegetation and shall not include the construction of any new intrastate natural gas or oil pipelines that have not received all necessary state and local permits and authorizations as of June first, two thousand sixteen.

§ 3. Resolved (if the Senate concur), That the foregoing amendments be referred to the first regular legislative session convening after the next succeeding general election of members to the assembly, and, in conformity with section 1 of article 19 of the constitution, be published for 3 months previous to the time of such election.

PROPOSED AMENDMENT
NUMBER TWO

S.8163

CONCURRENT RESOLUTION OF THE SENATE AND ASSEMBLY

proposing an amendment to section 7 of article 5 of the constitution, in relation to the public pension of a public officer

Section 1. Resolved (if the Assembly concur), That section 7 of article 5 of the constitution be amended to read as follows:

§ 7. **(a)** After July first, nineteen hundred forty, membership in any pension or retirement system of the state or of a civil division thereof shall be a contractual relationship, the benefits of which shall not be diminished or impaired.

(b) Notwithstanding subdivision (a) of this section, the public

pension of a public officer, as defined in paragraph (c) of this section, who stands convicted of a felony for which such felony has a direct and actual relationship to the performance of the public officer's existing duties, may be reduced or revoked, following notice and a hearing by an appropriate court, as provided by law. The court determination whether to reduce or revoke such pension shall be based on the consideration of factors including the severity of the crime and the proportionality of a reduction or revocation of such pension to such crime. When a court issues an order to reduce or revoke such pension, the court shall consider and determine specific findings as to the amount of such forfeiture, if any, and whether forfeiture, in whole or in part, would result in undue hardship or other inequity upon any dependent children, spouse or other dependents; and other factors as provided by law. The legislature shall enact legislation to implement this amendment taking into account interests of justice.

(c) For the purposes of paragraph (b) of this section, the term ''public officer'' shall mean: (i) an official filling an elected office within the state; (ii) a holder of office filled by direct appointment by the governor of this state, either upon or without senate confirmation; (iii) a county, city, town or village administrator, manager or equivalent position; (iv) the head or heads of any state or local government department, division, board, commission, bureau, public benefit corporation, or public authority of this state who are vested with authority, direction and control over such department, division, board, commission, bureau, public benefit corporation or public authority; (v) the chief fiscal officer or treasurer of any municipal corporation or political subdivision of the state; (vi) a judge or justice of the unified court system; and (vii) a legislative, executive, or judicial employee of this state who directly assists in the formulation of legislation, rules, regulations, policy, or judicial decision-making and who is designated as a policymaker as set forth in statute.

(d) Paragraph (b) of this section shall only apply to crimes committed on or after the first of January next succeeding the date upon which the people shall approve and ratify the amendment to the constitution that added this paragraph.

§ 2. Resolved (if the Assembly concur), That the foregoing amendment be referred to the first regular legislative session convening after the next succeeding general election of members of the assembly, and, in conformity with section 1 of article 19 of the constitution, be published for 3 months previous to the time of such election.

NEW YORK STATE | Department of Taxation and Finance

Depositories for the Funds of the State of New York

Month End: July 31, 2016

Prepared by the Division of the Treasury
Investments, Cash Management and Accounting Operations

Jerry Boone
Commissioner of Taxation and Finance

ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 07/31/2016
ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER		
Unemployment Insurance Funding Account	Key Bank	2,021,510.11
Occupational Training Act Funding Account	Key Bank	123,538.69
Unemployment Insurance Exchange Account	Key Bank	0.00
Exchange Account	Key Bank	76,666.97
Unemployment Insurance Master Concentration Account	JPMorgan Chase Bank, N.A.	0.00
Occupational Training Account Master Concentration Account	JPMorgan Chase Bank, N.A.	0.00
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(173,566,886.00)
PIT Refund Debit Card Services	Bank of America, N.A.	(36,349.80)
Unemployment Insurance Exchange Account	JPMorgan Chase Bank, N.A.	0.00
General Checking	Key Bank	(394,968,051.35)
Direct Deposit Account	Wells Fargo	28,920.42
TOTAL		(171,352,599.61)
01000 - EXECUTIVE CHAMBER		
Executive Chamber Advance Account	Key Bank	No report received
01010 - DIVISION OF BUDGET		
Advance Account	Bank of America, N.A.	8,500.00
01020 - DIVISION OF PAROLE		
Asset Forfeiture Special Rev Acct	Bank of America, N.A.	No report received
Division Of Parole Petty Cash Account	Key Bank	No report received
Division Of Parole Regional Advance Account	Key Bank	No report received
Emergency Support (Bronx)	JPMorgan Chase Bank, N.A.	No report received
Emergency Support Account	Key Bank	No report received
Emergency Support Fund (Albany)	Trustco Bank	No report received
Emergency Support Fund (Binghamton)	Citizens Bank	No report received
Emergency Support Fund (Buffalo)	Bank of America, N.A.	No report received
Emergency Support Fund (Elmira)	Chemung Canal Trust	No report received
Emergency Support Fund (Manhattan 1)	JPMorgan Chase Bank, N.A.	No report received
Emergency Support Fund (Nassau)	Bank of America, N.A.	No report received
Emergency Support Fund (Poughkeepsie)	JPMorgan Chase Bank, N.A.	No report received
Emergency Support Fund (Queens 1)	HSBC	No report received
Emergency Support Fund (Queens 2)	HSBC	No report received
Emergency Support Fund (Rochester 1)	M&T Bank	No report received
Emergency Support Fund (Syracuse)	Key Bank	No report received
Manhattan V - Emergency Support	JPMorgan Chase Bank, N.A.	No report received
Northeast Emergency Support Fund	Key Bank	No report received
Parole Supervision Fee	Key Bank	No report received
Parole Supervision Fee	Wachovia Bank NA	No report received
Rochester II Emergency Support Fund	Bank of America, N.A.	No report received
Subpoena Fund Account	Key Bank	No report received
Utica Emergency Support Fund	Bank of Utica	No report received
01030 - DIVISION OF ALCOHOLIC BEVERAGE CONTROL		
Albany		
SLA Investigations Account	Key Bank	1,331.71
01050 - OFFICE OF GENERAL SERVICES		
Exec Mansion Official Function	Key Bank	No report received
NY ISO Account	Key Bank	No report received
OGS Binghamton Office Bldg	First Niagara Bank	No report received
SNY Office of General Services	JPMorgan Chase Bank, N.A.	No report received
State of New York OGS Escrow II	Key Bank	No report received
State of New York OGS Petty Cash	Key Bank	No report received
State of New Your OGS Escrow	Key Bank	No report received
State of NY Office Of General Services	Key Bank	No report received
01060 - DIVISION OF STATE POLICE		
CNET Confidential Account	Key Bank	23,500.00
Div Headquarters - Petty Cash	Key Bank	1,032.50
Key Advantage Account	Key Bank	64,328.78
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	200.00
NYS Police Special Account	Key Bank	1,935,242.57
SIU Confidential Fund Account	Key Bank	6,719.33
Special Fund	Key Bank	48,392.48
State Police Receipts Account	Bank of America, N.A.	423,416.65
Troop A Batavia - Petty Cash	Bank of America, N.A.	700.00
Troop A Batavia-Confidential	Bank of America, N.A.	1,880.00
Troop B Confidential	Key Bank	5,487.00
Troop B Petty Cash	Community Bank	810.00
Troop C Confidential Fund	NBT Bank	1,800.00
Troop C Petty Cash	NBT Bank	1,000.00
Troop D Oneida - Confidential	Alliance Bank	1,040.00

Troop D Oneida Petty Cash	Alliance Bank	1,000.00
Troop E Canandaigua Confidential	Canandaigua National Bank	1,951.40
Troop E Petty Cash	Canandaigua National Bank	904.00
Troop F Confidential	JPMorgan Chase Bank, N.A.	950.00
Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	776.40
Troop G Petty Cash	Bank of America, N.A.	774.00
Troop K Petty Cash	Bank of Millbrook	1,000.00
Troop K Poughkeepsie-Confidential	Bank of Millbrook	1,400.00
Troop L Confidential Fund	Bank of America, N.A.	6,565.00
Troop L Petty Cash	Bank of America, N.A.	1,000.00
01070 - DIVISION OF MILITARY & NAVAL AFFAIRS		
Advance For Travel	Key Bank	No report received
SNY Camp Smith Billeting Fund	JPMorgan Chase Bank, N.A.	No report received
01077 - OFFICE OF HOMELAND SECURITY		
Academy Of Fire Science	Chemung Canal Trust	No report received
01080 - DIVISION OF HOUSING & COMMUNITY RENEWAL		
Albany Office Of Financial Administration		
Maximum Base Rent Fee Account	JPMorgan Chase Bank, N.A.	10,206.53
Revenue Account	JPMorgan Chase Bank, N.A.	555,085.22
01090 - DIVISION OF HUMAN RIGHTS		
Petty Cash Fund Account	JPMorgan Chase Bank, N.A.	No report received
01150 - OFFICE OF EMPLOYEE RELATIONS		
1986 Panel Administration Esc	Key Bank	3,830.07
GOER/LMC Advance Account	Key Bank	2,000.00
NYS Dependent Care Acct	Key Bank	53,312.86
01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS		
Agency Advance Account	Key Bank	1,865.30
01300 - ADIRONDACK PARK AGENCY		
General Fund	Community Bank	10,002.00
Petty Cash	Community Bank	3,641.10
01400 - CRIME VICTIMS COMPENSATION BOARD		
Crime Victims	JPMorgan Chase Bank, N.A.	No report received
Emergency Award Account	M&T Bank	No report received
Emergency Claims	Key Bank	No report received
Frances Featherstones	Key Bank	No report received
Petty Cash Account	Key Bank	No report received
REST/SUBROG Escrow Account	Key Bank	No report received
01490 - DIVISION OF CRIMINAL JUSTICE SERVICES		
Advance Account	Bank of America, N.A.	2,180.00
FBI Fee Account	Bank of America, N.A.	7,032.21
Fingerprint Fee Account	Bank of America, N.A.	3,397.50
01510 - NYS RACING & WAGERING BOARD		
Charitiable Gaming Account	Key Bank	694,123.59
Fingerprint Concentration Account	Key Bank	4,320.79
License Revenue Account	Bank of America, N.A.	9,474.17
Petty Cash Account	Key Bank	5,174.48
Racing Refund Account	Key Bank	589,026.03
01530 - STATE COMMISSION OF CORRECTION		
Advance Account	Bank of America, N.A.	2,000.00
01540 - STATE BOARD OF ELECTIONS		
Revenue Account	Key Bank	No report received
01620 - OFFICE FOR PREVENTION OF DOMESTIC VIOLENCE		
NYS Prevention Domestic Violence	Bank of America, N.A.	No report received
02000 - OFFICE OF THE STATE COMPTROLLER		
Admissions	Bank of America, N.A.	8,760.00
Alcoholic Bev Control License	Wells Fargo Bank	161,383.89
Alcoholic Beverage Control License	M&T Bank	221,179.52
Assessments Bulk	JPMorgan Chase Bank, N.A.	119,460.20
Assessments Receivable	JPMorgan Chase Bank, N.A.	5,464,450.14
Assessments Receivable (EFT)	Wells Fargo Bank	2,545,643.36
Beverage Container	JPMorgan Chase Bank, N.A.	0.00
Boxing And Wrestling Tax	Bank of America, N.A.	25,611.02
Capital Gains Tax On Real Estate	Bank of America, N.A.	0.00
Cigarette Stamp Sales Tax	JPMorgan Chase Bank, N.A.	1,526,004.00
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	92,933.46
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	8,108,067.73
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	434,952.27
Cigarette Tax Tobacco Products	Bank of America, N.A.	35,180.14
Comptroller's Refund Account	JPMorgan Chase Bank, N.A.	0.00
Corporation Tax	Wells Fargo Bank	469,478.09
Corporation Tax - Art 9	Bank of America, N.A.	1,027,363.41
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	117,629.96
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	200,000.00

Estate Tax	Bank of America, N.A.	1,599,785.13
Estate Tax Article 10 Section 241	Key Bank	0.01
Estimated Tax	JPMorgan Chase Bank, N.A.	3,999,852.73
Gift Tax	Bank of America, N.A.	25,976.69
Hazardous Waste	Key Bank	64,125.37
Highway Use - Permits & Reg.	Bank of America, N.A.	26,672.55
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	746,881.73
Highway Use-Permits & Reg. (EFT)	JPMorgan Chase Bank, N.A.	0.00
Hudson River-Black River	Bank of America, N.A.	477,124.52
Hudson River-Black River	Community Bank	14,775.57
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	45,607.50
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	0.00
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	0.00
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	32,750.55
IFTA-Fuel Use	Bank of America, N.A.	147,663.20
Image Cash Letter Corp Tax	JPMorgan Chase Bank, N.A.	642,615.23
Image Cash Letter Highway Use Tax	JPMorgan Chase Bank, N.A.	1,091,343.27
Image Cash Letter Sales Tax	JPMorgan Chase Bank, N.A.	946,629.83
Income Tax - LLC	JPMorgan Chase Bank, N.A.	176,237.71
Income Tax - Main	JPMorgan Chase Bank, N.A.	426,600.85
Justice Court	Key Bank	558,536.12
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	15,002.50
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	123,813.58
Medical Marijuana Tax Collections	Bank of America, N.A.	698.18
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	1,092,119.44
NYC General Debt Service	Bank of America, N.A.	0.00
NYC General Debt Service-RAN	JPMorgan Chase Bank, N.A.	0.00
Ogdensburg Bridge & Port	Community Bank	3,670.24
Payroll Revolving Exchange Acct.	Key Bank	43,138.70
Personal Income Tax	Wells Fargo Bank	802,668.00
Petroleum Business Tax (EFT)	Wells Fargo Bank	0.00
Petroleum Products Tax	Bank of America, N.A.	22,157.23
PIT Bulk	JPMorgan Chase Bank, N.A.	2,273.00
Port Of Oswego	Key Bank	558,497.15
Promptax - MCTMT	Wells Fargo Bank	3,288,913.60
Promptax - Petroleum Business Tax	Wells Fargo Bank	389,762.75
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	1,236,297.27
Promptax - Withholding	Wells Fargo Bank	(18,623,266.46)
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	60,940.72
Real Estate Transfer Tax	Key Bank	56,119.21
Revenue Holding	First Niagara Bank	0.00
Sales Tax	JPMorgan Chase Bank, N.A.	998,945.24
Sales Tax	Wells Fargo Bank	1,818,916.59
SUNY Concentration	First Niagara Bank	125,000,000.00
Troy Debt Service Reserve Fund	Bank of America, N.A.	0.00
Uncashed Winning Tickets	Bank of America, N.A.	8,921.42
Unclaimed Funds	JPMorgan Chase Bank, N.A.	116,091.32
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	1,006.57
Withholding	Wells Fargo Bank	13,525,671.35
Withholding Tax	JPMorgan Chase Bank, N.A.	14,079,881.62
Cash Advance Accounts		
Advance For Travel Account	Key Bank	15,701.30
ERS Petty Cash Acct	Key Bank	5,100.00
Petty Cash Account	Key Bank	3,715.00
Common Retirement Fund		
Common Retirement Fund - Depository	JPMorgan Chase Bank, N.A.	510.45
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	185,357.11
Employees Retirement System		
Employees Retirement System - EFT	JPMorgan Chase Bank, N.A.	0.00
Employees Retirement System - General	JPMorgan Chase Bank, N.A.	0.00
Employees Retirement System - Pension	JPMorgan Chase Bank, N.A.	0.00
Group Term Life		
Group Term Life - General	JPMorgan Chase Bank, N.A.	0.00
Miscellaneous		
Fee Account	Key Bank	288.25
Municipal Assistance Corporation Accounts		
City Of Troy - MAC	JPMorgan Chase Bank, N.A.	0.00
Police and Fire		
Retirement Police & Firemen's - EFT	JPMorgan Chase Bank, N.A.	0.00
Retirement Police & Firemen's - General	JPMorgan Chase Bank, N.A.	0.00
Retirement Police & Firemen's - Pension	JPMorgan Chase Bank, N.A.	0.00
03000 - DEPARTMENT OF LAW		
Albany Filing Fees Account	Key Bank	No report received
Albany Petty Cash	Bank of America, N.A.	No report received

Albany Revenue Account	Key Bank	No report received
Assessment Account	JPMorgan Chase Bank, N.A.	No report received
Attorney General Account	Key Bank	No report received
Civil Recoveries Account	Key Bank	No report received
Dept Of Law Controlled Disb	M&T Bank	No report received
Marie Roberts	JPMorgan Chase Bank, N.A.	No report received
NYC Filing Fees Account	JPMorgan Chase Bank, N.A.	No report received
NYC Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
NYC Revenue Account	JPMorgan Chase Bank, N.A.	No report received
Restitution Account	M&T Bank	No report received
Special Account	Key Bank	No report received
US Justice Dept - Shared Forfeiture	Key Bank	No report received
US Treas Dept - Shared Forfeiture	Key Bank	No report received
03010 - OFFICE OF THE ATTORNEY GENERAL		
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
03020 - MEDICAID FRAUD CONTROL		
dept atty gen vs john doe	First Niagara Bank	No report received
National Global Settlement	JPMorgan Chase Bank, N.A.	No report received
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	No report received
NYS Department of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
04020 - NYS ASSEMBLY		
Advance For Travel	Bank of America, N.A.	No report received
Petty Cash Account Dist Off	Bank of America, N.A.	No report received
Petty Cash New York City	JPMorgan Chase Bank, N.A.	No report received
Public Information Office	Key Bank	No report received
04030 - ASSEMBLY WAYS & MEANS COMMITTEE		
Advance For Travel	Key Bank	No report received
Petty Cash	Key Bank	No report received
04040 - LEGISLATIVE BILL DRAFTING COMMISSION		
NY LBDC - Legislative Computer Services Fund	Key Bank	20,438.79
NYS Leg Bill Drafting Comm-Petty Cash Acct	Key Bank	3,913.93
04250 - REAPPORTIONMENT		
NYS Taskforce On Demo Res & Reapp	JPMorgan Chase Bank, N.A.	No report received
05000 - OFFICE OF COURT ADMINISTRATION		
Attorney Registration Fees - Revenue	JPMorgan Chase Bank, N.A.	3,662,048.83
Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	10,318,566.82
Finger Print Account	JPMorgan Chase Bank, N.A.	16,650.00
Petty Cash Acct	JPMorgan Chase Bank, N.A.	500.00
05005 - OCA OFFICE OF BUDGET & FINANCE		
Petty Cash Account	Key Bank	2,500.00
05008 - LAWYERS FUND FOR CLIENT PROTECTION		
Client Security Fund - Bail	Key Bank	No report received
Lawyers Fund For Client Protection - Bail	Key Bank	No report received
Petty Cash	Key Bank	No report received
05012 - MENTAL HYGIENE LEGAL SERVICES - 2ND JUDICIAL DEPARTMENT		
Mental Hygiene Sec Dept Petty Cash	Bank of America, N.A.	879.59
05023 - COMMISSION ON PROFESSIONAL STANDARDS - 3RD JUDICIAL DEPARTMENT		
Comm On Prof Stands 3rd Jud Dept	M&T Bank	719.00
05071 - COURT OF APPEALS		
Chief Judge Advance	Key Bank	4,076.86
Clerk Of The Court Of Appeals	Key Bank	3,576.52
05072 - STATE BOARD OF LAW EXAMINERS		
State Board Of Law Examiners Fee	Key Bank	32,450.00
05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	75,985.55
1st Jud Dept Petty Cash Appellate	JPMorgan Chase Bank, N.A.	147.76
05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	88,289.00
05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT		
Third Dept Civil Fees Acct - Revenue	Key Bank	18,527.89
05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	14,176.90
05090 - COURT OF CLAIMS		
Court Of Claims Revenue Account	Key Bank	4,503.95
05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION		
Glen Cove City Court		
Glen Cove City Court - Bail	Bank of America, N.A.	141,266.71
Glen Cove Court Revenue	Bank of America, N.A.	47,214.17
Long Beach City - Nassau		
City Court Of Long Beach - Bail	Bank of America, N.A.	217,384.26
City Court Of Long Beach - Revenue	Bank of America, N.A.	95,636.58
Nassau Co Family		
Nassau Co Family Court Bail	Citibank	0.00

Nassau County Court		
Nassau County Assessment	Citibank	32,043.00
Nassau County Bail	Citibank	0.00
Nassau District Court - Civil		
Nassau County Dist Ct - Civil Revenue	Bank of America, N.A.	41,760.86
Nassau District Court - Criminal		
Nassau Dist Ct Criminal Revenue	Bank of America, N.A.	269,098.18
Nassau Dist Ct Criminal Trust Acct - Criminal Bail	Bank of America, N.A.	19,240.00
Nassau Surrogate		
Nassau County Surrogate Court - Revenue	Citibank	104,970.67
05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION		
Suffolk County Court		
Suffolk County Court - Court Fund	Suffolk County National	26,061.00
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	Suffolk County National	61,567.50
Suffolk District Court Civil Fees		
Suffolk County District Court Civil Fees	Citibank	407,196.81
Suffolk District Court Criminal Fines		
Suffolk County District Court Criminal Fines	Citibank	363,267.05
Suffolk District Court Trust Acct		
Suffolk County District Court Trust Account	Citibank	16,400.00
05210 - NYC-CIVIL COURT		
Bronx Civil Court - Civil		
Bronx Civil Court - Revenue	JPMorgan Chase Bank, N.A.	264,576.88
Harlem Community Justice Court		
Harlem Community Justice - Revenue Account	JPMorgan Chase Bank, N.A.	7,304.95
Kings Civil Court - Civil		
Kings Civil Court - Civil Revenue	HSBC	329,918.51
New York Civil Court - Civil		
New York Civil Court Revenue Acct	JPMorgan Chase Bank, N.A.	172,878.64
Queens Civil Court - Civil		
Queens Civil - Revenue	JPMorgan Chase Bank, N.A.	175,162.99
Richmond Civil Court - Civil		
Richmond Civil Ct Revenue Acct	JPMorgan Chase Bank, N.A.	87,835.01
05215 - NYC-CRIMINAL COURT		
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Bail	JPMorgan Chase Bank, N.A.	55,263.00
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	99,996.00
Kings County Criminal Court		
Kings Criminal Court	Citibank	156,474.00
New York County Criminal Court		
New York Criminal Court	JPMorgan Chase Bank, N.A.	86,042.00
New York Criminal Court- State Funds	JPMorgan Chase Bank, N.A.	172,998.00
Queens County Criminal Court		
Queens Criminal Court	JPMorgan Chase Bank, N.A.	105,185.00
Queens Criminal Court - State Funds	JPMorgan Chase Bank, N.A.	142,692.00
Richmond County Criminal Court		
Richmond Criminal Court	Citibank	28,595.00
Richmond Criminal Court- State Funds	Citibank	172,350.00
05220 - NYC-FAMILY COURT		
Family Citywide Administration		
NYC Family Court	JPMorgan Chase Bank, N.A.	235.00
05231 - SUPREME COURT - BRONX COUNTY		
NYS Office of Court Admin	JPMorgan Chase Bank, N.A.	13,830.00
05235 - SUPREME COURT - KINGS COUNTY		
Kings Co Supreme		
Supreme Court Kings County - Bail	HSBC	100.00
Supreme Court Kings County- Revenue	HSBC	15,871.30
05240 - SUPREME COURT - QUEENS COUNTY		
Queens Co Supreme		
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	24,409.01
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	0.00
05250 - NEW YORK COUNTY CLERK		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	2,050,715.51
New York County Clerk		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	0.00
05255 - BRONX COUNTY CLERK		
Bronx County Clerk		
Bronx Cnty Clerk Revenue Acct	JPMorgan Chase Bank, N.A.	538,468.00
Bronx Cnty Clerk-Bails /Fines C&T	JPMorgan Chase Bank, N.A.	0.00
05260 - KINGS COUNTY CLERK		
Kings County Clerk		
Kings County Clerk Revenue Account	Flushing Commercial Bank	1,076,848.80

05265 - QUEENS COUNTY CLERK		
Queens County Clerk-Revenue Acct	Sterling Bank	865,786.60
05270 - RICHMOND COUNTY CLERK		
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	8,691,888.76
Richmond County Clerk DEC	JPMorgan Chase Bank, N.A.	1,275.76
05275 - NEW YORK COUNTY SURROGATES COURT		
New York Surrogate		
New York Surrogate Court	JPMorgan Chase Bank, N.A.	116,785.90
05280 - BRONX COUNTY SURROGATES COURT		
Bronx Surrogate		
Bronx Surrogate Court Revenue Acct	JPMorgan Chase Bank, N.A.	38,674.90
05285 - KINGS COUNTY SURROGATES COURT		
Kings County Surrogate		
Kings Co. Surrogate Revenue Acct	Bank of America, N.A.	80,445.00
05290 - QUEENS COUNTY SURROGATES COURT		
Queens surrogate		
Queens Co Revenue Acct Surrogate	Signature Bank	121,488.00
05295 - RICHMOND COUNTY SURROGATES COURT		
Richmond County Surrogate Court Revenue Account	Victory State Bank	19,542.00
05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION		
Albany City Court		
Albany Police Ct Fines & Forfeiture - Revenue	Key Bank	32,135.63
Albany City Court - (traffic)		
Albany Traffic Court - Bail	Bank of America, N.A.	1,250.00
Albany City Court - Civil Part		
Albany City Court Civil - Revenue	Trustco Bank	12,388.68
Albany City Court - Traffic Ct		
Albany Traffic Court - Revenue	Bank of America, N.A.	121,171.00
Albany County Surrogate		
Albany Cty Surrogates Court - Revenue	Bank of America, N.A.	10,941.25
Albany Police Court		
Albany Police Court Bail Account	Key Bank	30,268.78
Cohoes City Court		
Cohoes City Court Bail	First Niagara Bank	44,349.80
Cohoes City Court Fees/Fines Account	First Niagara Bank	16,450.00
Columbia County Surrogate		
Columbia Co Surrogate Ct Fees - Revenue	Key Bank	10,758.50
Greene County Surrogate		
Greene County Surrogate - Revenue	First Niagara Bank	11,432.75
Hudson City Court		
Hudson City Court Bail Acct	Trustco Bank	29,070.00
Hudson City Court Revenue Acct - Revenue	Trustco Bank	4,793.93
Kingston City Court		
Kingston City Court Bail	Key Bank	6,601.00
Kingston City Court Fees Fines - Revenue	Key Bank	54,438.87
Rensselaer City Court		
Rensselaer City Court - Revenue	Key Bank	5,742.93
Rensselaer City Court Bail Acct	Key Bank	6,771.90
Rensselaer County Surrogate		
Rensselaer Co Surrogate Ct Fees - Revenue	Key Bank	17,471.00
Schoharie County Surrogate		
Schoharie Co Surrogates Court - Revenue	Bank of America, N.A.	530.00
Sullivan County Surrogate		
Sullivan County Surrogates Court - Revenue	Key Bank	4,369.25
Troy City Court		
Troy City Court- Revenue Acct - Revenue	Bank of America, N.A.	77,291.02
Troy Police Court Bail Account	Bank of America, N.A.	36,777.19
Ulster County Surrogate		
Ulster County Surrogate Court - Revenue	Key Bank	19,929.00
Watervliet City Court		
Watervliet City Court - Revenue	Bank of America, N.A.	27,833.95
Watervliet City Court Bail	Bank of America, N.A.	31,872.85
05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION		
Amsterdam City Court		
Amsterdam City Court - Bail	First Niagara Bank	66,770.09
Amsterdam City Court - Revenue	First Niagara Bank	25,253.60
Amsterdam Police Court - Bail	Key Bank	1.04
Clinton County Surrogates		
Clinton County Surrogates - Revenue	Key Bank	4,046.00
Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	302.50
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	846.00
Fulton County Surrogate		

Fulton County Surrogate's Court	Key Bank	1,266.50
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	15,244.82
Glens Falls City Court Bail Acct	Glens Falls National	49,023.61
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	47,780.03
Gloversville City Court Revenue	NBT Bank	14,796.60
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	721.00
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	12,130.22
Johnstown City Court Fines/Fees - Revenue	Key Bank	9,640.73
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	15,557.65
Mechanicville City Ct Revenue Acct	TD Bank	11,690.71
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	186.00
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	19,818.69
Ogdensburg City Court Revenue	Community Bank	3,227.25
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	60,647.60
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	27,186.10
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	6,488.75
Saratoga Springs City Court		
Saratoga Springs Bail Account - Revenue	The Adirondack Trust Company	128,893.65
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	36,820.17
Schenectady City Court		
Schenectady City Crim Trust - Bail	Bank of America, N.A.	121,807.16
Schenectady Police Court Fines - Revenue	Bank of America, N.A.	91,114.09
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	8,586.50
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	3,266.00
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	660.25
Washington Surrogates		
Washington Surrogate Revenue	TD Bank	856.00
05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION		
Fulton City Court		
Fulton City Court Bail Acct	Key Bank	23,406.40
Fulton City Court Revenue	Key Bank	12,828.10
Herkimer Surrogate		
Herkimer Surrogate - Revenue	Partners Trust	992.00
Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	4,468.25
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	1,765.00
Little Falls City Court		
Little Falls City Court Bail	Bank of America, N.A.	2,000.00
Little Falls City Court Revenue	M&T Bank	6,165.59
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	8,125.00
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	10,628.75
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	8,956.00
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	33,875.99
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	21,329.60
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	3,392.75
Rome City Court		
City Court Of Rome Bail Account - Bail	Bank of America, N.A.	85,505.50
Rome City Court - Revenue	Bank of America, N.A.	53,591.96
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	Alliance Bank	500.00
Sherrill City Court Fees - Revenue	Alliance Bank	2,297.00
Syracuse City Court		
Syracuse City Court - Bail	Alliance Bank	328,500.00
Syracuse City Court - Fees - Revenue	Alliance Bank	91,171.28
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	125,453.75

Utica City Court Revenue Account	Key Bank	68,221.49
Watertown City Court		
Watertown City Court Bail	Key Bank	80,077.17
Watertown City Court Fees & Fines - Revenue	Key Bank	23,606.73
05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	65,456.25
Binghamton City Court Revenue	M&T Bank	30,203.76
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	16,861.00
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	9,014.75
Chenango County Surrogates		
Chenango County Surrogates Court Acct	NBT Bank	3,830.77
Cortland City Court		
Court City Court Bail	NBT Bank	51,984.86
Court City Court- Revenue	NBT Bank	17,466.05
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	3,829.50
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	3,383.00
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	72,015.51
Elmira City Court Bail	Chemung Canal Trust	27,748.80
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	8,587.00
Ithaca City Court Revenue	Tompkins County Trust	26,270.51
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	3,015.25
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	3,555.00
Norwich City Court Revenue Acct	NBT Bank	6,466.13
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	21,050.50
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	13,195.00
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	13,726.00
Oneonta City Court Bail Account	Community Bank	58,302.00
Otsego County Surrogates		
Otsego County Surrogates Court - Revenue	Key Bank	3,561.25
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	1,504.00
Tioga County Surrogates		
Tioga Surrogates Court - Revenue	M&T Bank	1,346.00
Tompkins County Surrogates		
SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	8,816.25
05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION		
Auburn City Court		
Auburn City Court Bail Acct	First Niagara Bank	53,273.90
Auburn City Court Fees & Fines - Revenue	First Niagara Bank	14,022.39
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	40,951.05
Canandaigua City Court Revenue	Canandaigua National Bank	22,599.50
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	2,873.25
Corning City Court		
Corning City Court - Revenue	Community Bank	8,944.66
Corning City Court Bail	M&T Bank	39,587.44
Geneva City Court		
Geneva City Bail Account	Five Star Bank	83,050.00
Geneva City Court Revenue Acct	Five Star Bank	16,236.65
Hornell City Court		
Hornell City Court Bail Account	Steuben Trust Co.	35,353.80
Hornell City Court Revenue	Steuben Trust Co.	7,559.00
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	3,326.00
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	27,089.00
Ontario County Surrogates		
Ontario Surrogate Court	Wells Fargo Bank	3,733.50
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	604,172.60
Rochester City Revenue	M&T Bank	27,042.70
Seneca County Surrogates		

Seneca Surrogate Court	Wells Fargo Bank	1,154.50
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	6,912.00
Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	4,512.50
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	863.00
05860 - 8TH JUDICIAL DISTRICT ADMINISTRATION		
Allegany County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Allegany Surrogate Court	Wells Fargo Bank	1,511.00
Batavia City Court		
Batavia City Bail Account	M&T Bank	23,760.15
Batavia City Court Revenue	M&T Bank	19,578.00
Buffalo City Court		
Buffalo City Bail Account	M&T Bank	288,753.74
Buffalo City Revenue Account	M&T Bank	46,199.66
Cattaraugus County Surrogates		
Cattaraugus Surrogates Court - Revenue	Cattaraugus County Bank	0.00
ST of NY Office of the State Comptroller State of New York Unified Courts Cattaraugus Surrogate Court	Wells Fargo Bank	1,971.00
Chautauqua County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Chautauqua Surrogate Court	Wells Fargo Bank	7,071.00
Dunkirk City Court		
Dunkirk City - Revenue	First Niagara Bank	9,414.14
Dunkirk City Court - Bail	First Niagara Bank	13,434.20
Erie - Buffalo County Law Library		
Sur Ct Lib At Buffalo - Revenue	M&T Bank	226.55
Erie County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Erie Surrogate Court	Wells Fargo Bank	40,462.65
Genesee County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Genesee Surrogate Court	Wells Fargo Bank	976.00
Jamestown City Court		
Jamestown City Court Special Bail	Key Bank	7,947.00
State of New York Office of Court Administration Jamestown City Court Bail	First Niagara Bank	60,001.90
State of New York Office of Court Administration Jamestown City Court Revenue	First Niagara Bank	18,083.16
Lackawanna City Court		
Lackawanna City Court Bail Account	Key Bank	25,324.50
Lackawanna City Court Revenue Account	Key Bank	22,300.00
Lockport City Court		
Lockport City - Bail	Key Bank	50,940.10
Lockport City HESC EFT Account - Revenue	Key Bank	26,989.95
Niagara City Court		
Niagara Falls Bail Bond Account	M&T Bank	77,425.20
Niagara City Court - Criminal		
City Court Of Niagara Falls Criminal - Revenue	M&T Bank	34,249.70
Niagara County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Niagara Surrogate Court	Wells Fargo Bank	3,656.00
No. Tonawanda City Court		
N. Tonawanda City Court Bail	M&T Bank	45,774.80
N. Tonawanda City Court Revenue	M&T Bank	38,589.02
Olean City Court		
Olean City Court Bail Account	Community Bank	16,750.40
Olean City Court Revenue Account	Community Bank	10,183.04
Orleans County Surrogates		
ST of NY Office of The State Comptroller State of New York Unified Courts Orleans Surrogate Court	Wells Fargo Bank	2,093.00
Salamanca City Court		
Salamanca City Court Bail	Community Bank	6,839.00
Salamanca City Court City Judge - Revenue	Community Bank	10,877.75
Tonawanda City Court		
Tonawanda City Court Bail	M&T Bank	27,722.13
Tonawanda City Court Revenue	M&T Bank	36,189.10
Wyoming County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Wyoming Surrogate Court	Wells Fargo Bank	1,169.00
Wyoming Co Surrogate Court - Revenue	Five Star Bank	1.00
05960 - 9TH JUDICIAL DISTRICT ADMINISTRATION		
Poughkeepsie City Court- Bail	JPMorgan Chase Bank, N.A.	0.00
Beacon City Court		
Beacon City Court Bail Account - Bail	JPMorgan Chase Bank, N.A.	38,407.90
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	51,340.46
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	38,297.85
Middletown City Court		
Middletown City Bail Escrow - Bail	JPMorgan Chase Bank, N.A.	127,347.45
Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	73,044.49
Mt. Vernon City Court		

Mt Vernon City Court State Revenue	JPMorgan Chase Bank, N.A.	34,211.57
Mt Vernon City Trust - Bail	JPMorgan Chase Bank, N.A.	340,717.05
New Rochelle City Court		
New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	361,813.28
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	107,819.93
Newburgh City Court		
Newburgh Bail Account	Bank of America, N.A.	80,046.46
Newburgh City Court Revenue	Bank of America, N.A.	29,865.75
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	16,716.00
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	13,352.25
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	103,065.85
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	58,425.80
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	39,673.00
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	133,928.29
Poughkeepsie City Court -Revenue	Wells Fargo Bank	95,536.17
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	16,922.50
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	20,084.00
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	28,272.94
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	41,864.80
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	JPMorgan Chase Bank, N.A.	47,826.00
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	254,376.17
White Plains City Court		
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	154,520.51
Yonkers City Court		
Yonkers City Bail Account- Bail	Sterling Bank	471,778.94
Yonkers City State Account - Revenue	Sterling Bank	3,465.38
Yonkers City Court - Escrow		
Yonkers City Escrow Account - Bail	Sterling Bank	53,532.47
Yonkers City Court - State Fund		
Yonkers City State Fund Account - Revenue	Sterling Bank	100,629.93
06000 - AGRICULTURE & MARKETS		
Administration Account	Key Bank	43,804.30
Agency Advance Account	Key Bank	20,000.00
Agriculture Producers Sec Fund	Key Bank	17,967.00
Animal Population Control Account	Key Bank	13,402.85
Apple Marketing Order Fund	Key Bank	19,408.86
Consumer Food Industry Account	Key Bank	83,903.50
Dairy Industry Services Account	Key Bank	22,250.61
Dairy Promotion Order Fund	Key Bank	41,250.90
Farm Products Grading	JPMorgan Chase Bank, N.A.	253,519.14
Milk Producers Security Fund	Key Bank	10,812.91
NYS Farmers Market Program	Key Bank	3,758,496.30
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	100.26
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	10,458.07
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	318.40
Onion Marketing Order	Key Bank	3,618.00
Plants Industry Account	Key Bank	26,622.51
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	200.00
Weights & Measures Account	Key Bank	35,720.32
State Fair		
NYS Fair Operating Account	Solvay Bank	276,113.35
NYS Fair Petty Cash/Travel	Solvay Bank	3,853.14
NYS Fair Special Account	Solvay Bank	3,000,091.09
State Fair Premium Award Account	Solvay Bank	3,280.41
08000 - DEPARTMENT OF CIVIL SERVICE		
Agency Advance Account	Bank of America, N.A.	2,175.54
Employee Insurance Pending Account	Wells Fargo Bank	32,865,736.16
Examination Application Fees Account	Bank of America, N.A.	13,085.00
Examination Application Fees Account	First Niagara Bank	124,505.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
08010 - PUBLIC EMPLOYEE RELATIONS BOARD		
Petty Cash And Travel Advance Account	Key Bank	1,454.69
09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION		

Albany		
Asharoken Feasibility Study	JPMorgan Chase Bank, N.A.	33,843.24
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	487,915.83
Conservation Petty Cash Account	M&T Bank	25,493.07
DEC/Exchange Account	M&T Bank	75,118.94
ENCON License Issuing Office	M&T Bank	823.00
ENCON Travel Advance	M&T Bank	0.00
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,120.20
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,649.97
Harbor Drift Removal Proj	JPMorgan Chase Bank, N.A.	1,543,275.06
Hunting Trapping & Fishing Account	M&T Bank	318,852.58
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	233,511.58
Lockbox Account	Wells Fargo Bank	206,519.49
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,313.42
NY Conservationist	Bank of America, N.A.	12,562.01
Program Fee	JPMorgan Chase Bank, N.A.	3,613.78
Revenue Account	Bank of America, N.A.	681,455.57
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,249,998.75
SNY Dept Of Environmental Conservation	JPMorgan Chase Bank, N.A.	206,245.58
State of New York	First Niagara Bank	119,676.78
US Army Coe - Moriches Project	JPMorgan Chase Bank, N.A.	11,035.68
Westhampton Project Escrow	JPMorgan Chase Bank, N.A.	253,338.15
Region 1		
Marine Permit Account	Bank of Smithtown	10,008.00
New York State Dept Of Environ - ME	JPMorgan Chase Bank, N.A.	0.00
Region 3		
Revenue Region 3 Account	Bank of America, N.A.	0.00
SNY Dept of Environmental Conser	M&T Bank	0.00
Region 4		
Bear Spring Revenue Account	National Bank of Delaware	0.00
Region 4	Greene County Commercial Bank	0.00
Region 4 Camping	NBT Bank	0.00
Region 4 Office Account	Key Bank	0.00
Region 5		
Campsite Revenue Account	Glens Falls National	0.00
Land & Forest Region 5W	TD Bank	9,454.69
NYS Conservation	Glens Falls National	1.00
Recreation (Warrensburg)	City National Bank & Trust	8,562.87
Region 5	Citizens Bank	38.03
Region 5	NBT Bank	302.00
Tree Nursery	Bank of America, N.A.	1,214.50
Region 6		
Fish & Wildlife Watertown	Key Bank	113.92
Lands & Forest District #7	Community Bank	0.00
Lands & Forests District #6	Community Bank	10,379.87
Lands And Forests District 10	M&T Bank	19.90
SNY Dept Of Environmental Conserv	Community Bank	14.05
Region 7		
Div Of Fish & Wildlife	Alliance Bank	0.00
Lands & Forests District #3	Alliance Bank	0.00
Regional Office Checking Acct	JPMorgan Chase Bank, N.A.	0.00
Region 8		
Lands & Forests Dist No. 14	Five Star Bank	7,575.00
10000 - ATTICA CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	727.59
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	30,317.34
General Cash Fund	Five Star Bank	3,872.80
Inmate Occupational Therapy Fund	Five Star Bank	82,869.92
Inmate Savings Account	Five Star Bank	252,394.20
Spendable Fund	Five Star Bank	529,421.56
10010 - AUBURN CORRECTIONAL FACILITY		
Advance Account	Bank of America, N.A.	5,810.66
Certificate of Deposit	Bank of America, N.A.	15,000.00
Certificate of Deposit	Bank of America, N.A.	90,000.00
Certificate of Deposit	Bank of America, N.A.	20,000.00
Inmate Occupational Therapy Fund	Bank of America, N.A.	27,336.42
Inmate Spendable Account	Bank of America, N.A.	264,981.16
Misc Receipts	Bank of America, N.A.	0.00
Money Market	Bank of America, N.A.	35,000.00
10020 - CLINTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	13,061.92
Employee Benefit Fund	Key Bank	11,060.31
General Fund	Key Bank	3,454.87

Inmate Funds	Key Bank	222,870.21
Inmate Funds Money Market Account	Key Bank	840,818.25
Inmate Occupational Therapy Acct	Key Bank	106,680.34
10030 - WATERTOWN CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,951.37
Inmate Occupational Therapy Fund	Key Bank	11,989.81
Inmate Spendable Funds	Key Bank	56,200.70
Inmate Spendable Savings Account	Key Bank	65,404.57
Miscellaneous Receipts	Key Bank	13,372.62
10040 - GREAT MEADOW CORRECTIONAL FACILITY		
Certificate of Deposit	Glens Falls National	150,000.00
Certificate of Deposit	Glens Falls National	25,000.00
Certificate of Deposit	Glens Falls National	100,000.00
Employee Assistance Program	Glens Falls National	2,631.62
Employee Benefit Fund	Glens Falls National	5,199.16
Facility Advance	Glens Falls National	6,570.69
General Fund Account	Glens Falls National	14,366.74
Inmate Fund	Glens Falls National	49,754.35
Inmate Fund Savings Account	Glens Falls National	102,500.00
Occupational Therapy	Glens Falls National	16,428.27
10050 - FISHKILL CORRECTIONAL FACILITY		
Agency Advance	M&T Bank	6,166.12
Employee Benefits	M&T Bank	11,587.69
Inmate Spending Account	M&T Bank	186,759.92
Inmates Account	M&T Bank	461,892.83
Inmates Benefit	M&T Bank	39,326.73
Misc Receipts	M&T Bank	36,874.40
Occupational Therapy Account	M&T Bank	32,385.83
10060 - WALLKILL CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,725.60
Employee Benefit	Key Bank	2,190.23
Inmate Occupational Therapy Fund	Key Bank	28,180.18
Inmate Savings Account	Key Bank	87,888.86
Inmates Fund Account	Key Bank	74,333.32
Misc. Receipts	Key Bank	39,227.46
10070 - SING SING CORRECTIONAL FACILITY		
Cash Advance	Sleepy Hollow National Bank	7,496.93
Inmate Spending	Sleepy Hollow National Bank	34,075.67
Misc Receipts	Sleepy Hollow National Bank	15,039.26
Money Market	Sleepy Hollow National Bank	450,674.82
Occupational Therapy	Sleepy Hollow National Bank	119,345.97
10080 - GREEN HAVEN CORRECTIONAL FACILITY		
Advance Account	Key Bank	3,008.42
General Fund	Key Bank	16,749.64
Inmates Money Market	Key Bank	286,846.59
Inmates Now Checking	Key Bank	770,212.61
Occupational Therapy Fund	Key Bank	115,794.92
10090 - ALBION CORRECTIONAL FACILITY		
Albion Advance Account	Bank of America, N.A.	4,755.00
Employee Benefit Fund	Bank of America, N.A.	17,633.20
Inmate Funds	Bank of America, N.A.	129,533.51
Inmate Funds Savings	Bank of America, N.A.	103,229.35
Misc Receipts	Bank of America, N.A.	3,320.38
Occupational Therapy	Bank of America, N.A.	32,525.18
10100 - EASTERN NEW YORK CORRECTIONAL FACILITY		
Agency Advance Account	Sterling Bank	2,209.07
Employee Benefit Fund	Sterling Bank	7,528.14
ID Now 3 Month CD	M&T Bank	50,102.55
Inmate Deposit Now Account	Sterling Bank	258,130.56
Inmate Occupational Therapy Account	Sterling Bank	46,499.90
Misc. Receipts	Sterling Bank	3,285.59
10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER		
Agency Advance Account	Chemung Canal Trust	4,221.36
ECF Clubhouse	Chemung Canal Trust	16,985.74
Employee Benefit Fund	Chemung Canal Trust	9,856.65
Inmate CD Account	M&T Bank	212,983.14
Inmates Fund	Chemung Canal Trust	219,190.08
Miscellaneous Receipts	Chemung Canal Trust	0.00
Occupational Therapy Fund	Chemung Canal Trust	60,024.05
10120 - BEDFORD HILLS CORRECTIONAL FACILITY		
Advance Account	JPMorgan Chase Bank, N.A.	6,076.40
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	6,576.93
Inmate Funds	JPMorgan Chase Bank, N.A.	127,387.00
Inmate Funds CD	JPMorgan Chase Bank, N.A.	90,000.00

Inmate Funds Money Market	JPMorgan Chase Bank, N.A.	20,271.34
Misc. Receipts	JPMorgan Chase Bank, N.A.	11,402.96
Occupational Therapy	JPMorgan Chase Bank, N.A.	37,744.59
10130 - COXSACKIE CORRECTIONAL FACILITY		
Agency Advance Account	National Bank of Coxsackie	2,220.75
Employee Benefits Fund	National Bank of Coxsackie	11,525.93
Inmates Fund	National Bank of Coxsackie	106,620.74
Inmates Fund Savings Acct	National Bank of Coxsackie	23,521.37
Misc. Revenue	National Bank of Coxsackie	26,020.18
Money Market Acct	National Bank of Coxsackie	129,576.02
Occupational Therapy Acct	National Bank of Coxsackie	15,424.54
10140 - WOODBOURNE CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	586.91
CD - Inmate Funds	First National Bank of Jeffersonville	50,000.00
CD - Inmate Funds	First National Bank of Jeffersonville	95,000.00
General Fund	Bank of America, N.A.	11,229.14
Inmate Funds Checking	Bank of America, N.A.	290,479.99
Occupational Therapy Account	Bank of America, N.A.	21,417.93
10160 - DEPARTMENT OF CORRECTIONAL SERVICES		
Agency Advance Account	Key Bank	23,571.59
Employee Benefit Fund	Key Bank	16,525.80
Inmate Escrow Account	Key Bank	354,320.05
Misc. Receipts Account	Key Bank	77,269.94
Special Account	Key Bank	1,300.00
10170 - QUEENSBORO CORRECTIONAL FACILITY		
Agency Advance Account	JPMorgan Chase Bank, N.A.	7,145.18
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	4,255.86
Inmate Funds Account	JPMorgan Chase Bank, N.A.	25,992.43
Miscellaneous Receipts Account	JPMorgan Chase Bank, N.A.	179.35
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	3,173.29
Savings Account	JPMorgan Chase Bank, N.A.	15,416.84
10230 - ADIRONDACK CORRECTIONAL FACILITY		
ADK QWL	Community Bank	2,802.60
Agency Advance	Community Bank	1,306.00
Diversity Management	Community Bank	826.10
Employee Benefit Fund	Community Bank	3,375.55
General Fund	Community Bank	586.37
Inmate Funds	Community Bank	34,521.13
Inmate Occupational Therapy Fund	Community Bank	4,453.33
Inmate Savings Money Market	Community Bank	57,220.35
Make A Difference Day	Community Bank	40.14
10240 - DOWNSTATE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	1,453.22
Employee Recreational Funds	JPMorgan Chase Bank, N.A.	12,988.02
Inmate Fund	JPMorgan Chase Bank, N.A.	143,654.01
Inmates Funds Savings	JPMorgan Chase Bank, N.A.	79,188.53
Misc. Receipts	JPMorgan Chase Bank, N.A.	25,308.67
Occupational Therapy	JPMorgan Chase Bank, N.A.	28,347.59
10250 - TACONIC CORRECTIONAL FACILITY		
Inmate Funds	JPMorgan Chase Bank, N.A.	80,149.95
Misc. Revenue	JPMorgan Chase Bank, N.A.	1,246.36
Money Market	JPMorgan Chase Bank, N.A.	30,605.12
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	25,850.57
Taconic Advance Account	JPMorgan Chase Bank, N.A.	4,984.00
10270 - HUDSON CORRECTIONAL FACILITY		
Advance Account	Key Bank	3,928.44
Employee Benefit Fund Account	Key Bank	7,176.68
Inmate Funds Account	Key Bank	18,455.10
Inmate Key Advantage Account	Key Bank	65,175.72
Inmate Occupational Therapy Account	Key Bank	8,208.52
Miscellaneous Receipts Account	Key Bank	779.58
10290 - OTISVILLE CORRECTIONAL FACILITY		
Cash Advance	Jeff Bank	43.74
General Fund	Jeff Bank	0.11
Inmate Funds	Jeff Bank	52,152.36
Inmate Occupational Therapy	Jeff Bank	39,671.53
Inmate Savings	Jeff Bank	51,151.29
Inmate Savings CD	Hometown Bank	75,928.89
10300 - ROCHESTER CORRECTIONAL FACILITY		
Consolidated Advance Account	M&T Bank	604.78
Employee Recreation Fund	M&T Bank	439.71
Inmate Deposit Account	M&T Bank	68,331.26
Inmate Occupational Therapy	M&T Bank	26.26
Misc Fees	M&T Bank	1,937.20

Work Release Advance Account	M&T Bank	1,329.06
10320 - EDGECOMBE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	4,810.46
Employee Benefit Account	JPMorgan Chase Bank, N.A.	4,086.65
Inmate Cash Account	JPMorgan Chase Bank, N.A.	78,517.12
Misc. Receipts Account	JPMorgan Chase Bank, N.A.	143.32
Occupational Therapy Acct	JPMorgan Chase Bank, N.A.	1,311.21
Work Release Account	JPMorgan Chase Bank, N.A.	0.00
10350 - OGDENSBURG CORRECTIONAL FACILITY		
Agency Advance Account	Community Bank	4,346.00
Inmate Fund	Community Bank	79,182.95
Inmate Savings	Community Bank	45,151.55
Misc. Receipts	Community Bank	10.05
Occupational Therapy	Community Bank	9,063.12
10360 - LINCOLN CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	3,178.30
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	3,057.05
General Fund	JPMorgan Chase Bank, N.A.	1,687.18
Inmate Funds	JPMorgan Chase Bank, N.A.	262,640.35
Inmate Savings	JPMorgan Chase Bank, N.A.	59,583.04
Lincoln Work Release Account	JPMorgan Chase Bank, N.A.	2,491.00
Occupational Therapy	JPMorgan Chase Bank, N.A.	9,734.37
10370 - FIVE POINTS CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	1,519.05
EBF Checking	Five Star Bank	20,451.79
EBF Savings	Five Star Bank	45,729.99
Inmate Savings	Five Star Bank	232,702.52
Inmate Spendable	Five Star Bank	98,737.79
Misc Receipts	Five Star Bank	691.40
Occupational Therapy	Five Star Bank	49,803.70
10390 - MOHAWK CORRECTIONAL FACILITY		
Agency Advance	First Niagara Bank	No report received
Employee Benefit Fund Checking	Bank of America, N.A.	No report received
Inmate Funds Checking	First Niagara Bank	No report received
Inmate Funds Checking	First Niagara Bank	No report received
Inmate Funds Savings	First Niagara Bank	No report received
Miscellaneous Revenue	First Niagara Bank	No report received
Occupational Therapy	First Niagara Bank	No report received
10430 - WENDE CORRECTIONAL FACILITY		
Consolidated Advance	Alden State Bank	61.24
Employee Benefit Account	Alden State Bank	50,199.94
Inmate Savings	Alden State Bank	194,322.00
Inmates Funds	Alden State Bank	239,897.87
Misc. Receipts	Alden State Bank	29,438.66
Occupational Therapy	Alden State Bank	35,106.43
10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER		
Office of Nutritional Services		
Miscellaneous Receipts	First Niagara Bank	12,359.41
10450 - GOWANDA CORRECTIONAL FACILITY		
Advance Account	Evans National Bank	3,855.07
Employee Benefit Fund	Evans National Bank	23,585.10
Inmate Funds	Evans National Bank	60,513.45
Inmate Funds - CD	Evans National Bank	131,576.35
Inmate Funds Savings	Evans National Bank	163,462.97
Miscellaneous Revenue	Evans National Bank	3,759.80
Occupational Therapy	Evans National Bank	18,372.73
10460 - GROVELAND CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	2,696.59
Employee Commission Account	Five Star Bank	10,806.84
Inmate Funds Account	Five Star Bank	89,821.55
Inmate Funds Account - Savings	Five Star Bank	132,959.42
Miscellaneous Receipts Account	Five Star Bank	1,914.30
Occupational Therapy Account	Five Star Bank	20,217.65
10470 - COLLINS CORRECTIONAL FACILITY		
Agency Advance	Community Bank	8,153.95
Employee Activities	Community Bank	19,058.00
Inmate Fund Checking	Community Bank	167,870.73
Inmate Savings	Community Bank	130,361.00
Miscellaneous Revenue	Community Bank	1,757.21
Occupational Therapy	Community Bank	21,857.88
10480 - MID-STATE CORRECTIONAL FACILITY		
Agency Advance	First Niagara Bank	1,474.18
Employee Benefit Fund	Bank of America, N.A.	34,459.31
Inmate Funds	First Niagara Bank	129,492.73

Inmate Savings	First Niagara Bank	197,910.21
Misc. Revenue	First Niagara Bank	9,380.00
Occupational Therapy	First Niagara Bank	40,395.66
10490 - MARCY CORRECTIONAL FACILITY		
Agency Advance Account	First Niagara Bank	4,900.26
Employee Benefit Fund Account	Bank of America, N.A.	14,825.23
Inmate Fund Account	First Niagara Bank	43,134.69
Inmate Funds Checking	First Niagara Bank	43,110.10
Misc receipts Acct	First Niagara Bank	1,041.73
NYS DOCS Marcy Corr Facility	First Niagara Bank	210,955.61
Occupational Therapy fund Acct	First Niagara Bank	24,434.77
10500 - NYC CENTRAL ADMINISTRATION		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	2,394.76
Misc Receipts	JPMorgan Chase Bank, N.A.	439.17
10501 - CENTRAL PHARMACY		
NYS Docs Central Pharmacy Advance Acct	Bank of America, N.A.	1,000.00
10510 - MORIAH SHOCK INCARCERATION CORRECTIONAL FACILITY		
Moriah Shock Incarceration Advance Acct	Glens Falls National	1,800.00
Moriah Shock Incarceration Employee Benefit Fund	Glens Falls National	4,585.89
Moriah Shock Incarceration Occ Therapy	Glens Falls National	3,155.53
Moriah Shock Misc Receipts	Glens Falls National	26.05
NYS Moriah Shock Incarceration Inmate Checking	Glens Falls National	77,259.26
10530 - FRANKLIN CORRECTIONAL FACILITY		
Advance Account	Key Bank	5,337.19
Employee Benefit Account	Key Bank	5,402.17
Inmate Funds	Key Bank	141,493.60
Inmate Occupational Therapy	Key Bank	30,341.46
Inmate Savings	Key Bank	296,937.31
Misc. Receipts	Key Bank	5,351.78
10540 - ALTONA CORRECTIONAL FACILITY		
Cons Adv Travel Petty Cash	NBT Bank	4,237.73
Employees Vending Benefit	NBT Bank	9,128.77
Inmates Funds	NBT Bank	104,741.31
Misc Revenues General Fund	NBT Bank	1,388.60
Occupational Therapy	NBT Bank	8,733.95
10550 - CAYUGA CORRECTIONAL FACILITY		
Agency Advance	First National Bank of Groton	6,140.56
Cert Of Deposit	First National Bank of Groton	86,133.78
Employee Benefit Fund	First National Bank of Groton	7,597.27
Inmate Occupational Therapy Account	First National Bank of Groton	26,816.02
Inmate Spendable	First National Bank of Groton	296,296.79
Inmate Spendable	First National Bank of Groton	0.00
Misc Receipts	First National Bank of Groton	1,211.61
10560 - BARE HILL CORRECTIONAL FACILITY		
Agency Advance	Key Bank	2,786.88
Employee Benefit Fund	Key Bank	9,229.53
Inmate Spendable Funds	Key Bank	111,945.99
Key Public Money Market Checking	Key Bank	236,249.96
Miscellaneous Receipts	Key Bank	549.65
Occupational Therapy	Key Bank	25,150.54
10570 - RIVERVIEW CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,407.09
Inmate Accounts	Key Bank	172,210.95
Inmate Savings Account	Key Bank	105,286.06
Miscellaneous Receipts Account	Key Bank	9,528.24
Occupational Therapy	Key Bank	14,686.36
10580 - CAPE VINCENT CORRECTIONAL FACILITY		
Advance Account	Community Bank	4,400.00
Employee Benefit Fund	Community Bank	38,917.24
Inmate Occupation Therapy Acct	Community Bank	17,472.22
Inmate Savings	Community Bank	131,403.37
Inmate Spendable Account	Community Bank	113,620.51
Miscellaneous Receipts Account	Community Bank	2,327.44
10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY		
Agency Advance	Community Bank	4,192.39
Employee Benefit Fund - Sav	Community Bank	7,315.08
Inmate Funds	Community Bank	21,206.92
Inmate Funds - Sav	Community Bank	104,622.32
Miscellaneous Revenue	Community Bank	588.31
Occupational Therapy	Community Bank	927.62
Occupational Therapy - Sav	Community Bank	5,008.00
10610 - ULSTER CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	4,153.39
Employee Benefit Fund	Bank of America, N.A.	5,855.60

Inmate Fund	Bank of America, N.A.	85,152.61
Inmate Funds Savings	Bank of America, N.A.	12,247.32
Misc. Receipts	Bank of America, N.A.	3,796.96
Occupational Therapy	Bank of America, N.A.	9,568.42
10630 - SOUTHPORT CORRECTIONAL FACILITY		
Advance Account	Chemung Canal Trust	1,696.41
Employee Benefit Fund	Chemung Canal Trust	15,106.15
Inmate Funds	Chemung Canal Trust	123,642.41
Inmate Funds Account	Chemung Canal Trust	26,580.47
Misc. Receipts Account	Chemung Canal Trust	2,789.88
Occupational Therapy Account	Chemung Canal Trust	14,695.88
10640 - ORLEANS CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	3,754.08
Employee Benefit Fund	Bank of America, N.A.	6,150.80
Inmate Funds	Bank of America, N.A.	154,427.82
Inmate Savings	Bank of America, N.A.	107,051.68
Miscellaneous Receipts	Bank of America, N.A.	48,577.77
Occupational Therapy	Bank of America, N.A.	24,778.07
10650 - WASHINGTON CORRECTIONAL FACILITY		
Advance Account	Glens Falls National	1,129.79
Advance Account	Key Bank	0.00
General Account	Key Bank	8,905.84
Inmate Account	Key Bank	131,532.92
Inmate Funds Account Certificate Of Deposit	Glens Falls National	77,979.95
Inmate Savings Account	Key Bank	14,320.47
Occupational Therapy Account	Key Bank	12,453.05
10660 - WYOMING CORRECTIONAL FACILITY		
Agency Advance	Five Star Bank	8,289.26
Employee Benefit Fund	Five Star Bank	10,200.25
Inmate Occupational Therapy	Five Star Bank	38,965.77
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
Inmate Savings Account	Five Star Bank	51,011.38
Inmate Savings-Certificate of Deposit	Five Star Bank	25,000.00
Inmate Spendable	Five Star Bank	203,239.50
Misc. Receipts Account	Five Star Bank	32,658.30
10670 - GREENE CORRECTIONAL FACILITY		
Consolidated Advance	National Bank of Coxsackie	4,815.59
Inmate Accounts	National Bank of Coxsackie	79,765.25
Inmate Savings	National Bank of Coxsackie	231,820.26
Misc. Receipts	National Bank of Coxsackie	606.86
Occupational Therapy	National Bank of Coxsackie	27,227.74
10680 - SHAWANGUNK CORRECTIONAL FACILITY		
Consolidated Advance Account	Key Bank	1,117.00
Inmate Funds	Key Bank	149,982.58
Inmates Funds Account	Key Bank	70,601.37
Misc. Receipts Account	Key Bank	55.16
Occupational Therapy Acct	Key Bank	23,726.66
10690 - SULLIVAN CORRECTIONAL FACILITY		
Consolidated Advance	Bank of America, N.A.	2,055.94
Inmate Funds	Bank of America, N.A.	63,909.86
Miscellaneous Receipts	Bank of America, N.A.	2,651.50
Occupational Therapy	Bank of America, N.A.	33,965.31
Savings	Bank of America, N.A.	100,132.53
10800 - LIVINGSTON CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	2,595.00
Employee Benefit Fund	Five Star Bank	9,485.17
Inmate Funds CD	Five Star Bank	75,198.47
Inmate Funds Checking	Five Star Bank	35,777.87
Inmate Savings	Five Star Bank	45,235.39
Miscellaneous Receipts	Five Star Bank	126.51
Occupational Therapy	Five Star Bank	14,689.03
10810 - GOUVERNEUR CORRECTIONAL FACILITY		
Agency Advance	Community Bank	2,386.13
Inmate Occupational Therapy	Community Bank	23,446.07
Inmate Savings	Community Bank	214,804.67
Inmate Spendable Fund	Community Bank	168,748.62
Misc Receipts	Community Bank	4,760.13
10820 - WILLARD DRUG TREATMENT CENTER		
Consolidated Advance	Community Bank	1,252.69
Employee Benefit Fund	Community Bank	18,723.39
Inmate Funds	Community Bank	57,973.84
Inmate Occupational Therapy	Community Bank	3,711.09
Misc Receipts	Community Bank	1,215.34

10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1		
Advance Account	Key Bank	4,022.53
Facility Committees	Key Bank	10,007.72
Inmate Fund	Key Bank	92,634.36
Inmate Fund Savings	Key Bank	489,996.23
Inmate Occupational Therapy Fund	Key Bank	8,448.57
Miscellaneous Account	Key Bank	317.80
10850 - HALE CREEK ASACTC		
Consolidated Advance	Key Bank	1,198.13
Employee Benefit Fund	Bank of America, N.A.	11,119.53
Inmate Funds	Key Bank	59,309.59
Inmate Interest Bearing Account	Key Bank	15,000.26
Misc Receipts	Key Bank	88.00
Occupational Therapy	Key Bank	22,758.76
10910 - EASTERN NEW YORK CORRECTIONAL FACILITY - INDUSTRIES		
Div of Industries Petty Cash	Bank of America, N.A.	No report received
10916 - CENTRAL OFFICE - INDUSTRIES		
Div of Ind Petty Cash Acct	Key Bank	6,485.00
Div of Ind Revenue Acct	Key Bank	368,388.19
11000 - EDUCATION DEPARTMENT		
Consolidated Advance Account	Key Bank	No report received
Consolidated Advance Account (Control Disbursement)	Key Bank	No report received
Revenue Account	Key Bank	No report received
11100 - NYS HIGHER EDUCATION SERVICES CORPORATION		
EFT Disbursement	Key Bank	No report received
Operating	Key Bank	No report received
Retail Lockbox	US Bank	No report received
TAP	Key Bank	No report received
Wholesale Lockbox	US Bank	No report received
11260 - BATAVIA SCHOOL FOR THE BLIND		
Misc. Receipts	M&T Bank	No report received
Petty Cash	M&T Bank	No report received
Student Spending Account	Bank of America, N.A.	No report received
11270 - ROME SCHOOL FOR THE DEAF		
Miscellaneous Receipts	NBT Bank	356.52
Petty Cash	NBT Bank	1,895.00
Student Activity Fund	NBT Bank	706.00
11280 - ARCHIVES PARTNERSHIP TRUST		
Endowment	Janney Montgomery Scott LLC	No report received
Endowment - Special Account	Janney Montgomery Scott LLC	No report received
Trust's Board Project Account	Key Bank	No report received
12000 - DEPARTMENT OF HEALTH CENTRAL ADMINISTRATION		
Conf Narcotic Investigation	M&T Bank	No report received
Consolidated Advance Acct	M&T Bank	No report received
CSA Rebate Account	Bank of America, N.A.	No report received
EPIC Benefit Recovery Program	Bank of America, N.A.	61,775.63
EPIC Provider Receipt Account	Bank of America, N.A.	0.00
General Account	M&T Bank	No report received
Indian Health Disbursement Account	Bank of America, N.A.	0.00
Medicaid	Key Bank	No report received
Medicaid Audit Recoveries Acct	Key Bank	No report received
Medicaid Buy-In Account	Bank of America, N.A.	No report received
Medicaid Insurance Recoveries Acct	Bank of America, N.A.	No report received
Nursing Home Fees Account	Bank of America, N.A.	77,649.63
12010 - ROSWELL PARK MEMORIAL INSTITUTE		
Office Of Patient Accounts	M&T Bank	5,187,180.44
12030 - HELEN HAYES HOSPITAL		
Misc. Receipts	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
Rental Deposit Acct	JPMorgan Chase Bank, N.A.	No report received
12120 - NYS VETERANS HOME-OXFORD		
Agency Advance	NBT Bank	No report received
Exchange Account	NBT Bank	No report received
Maintenance Fund	NBT Bank	No report received
Resident Advance Savings	NBT Bank	No report received
12150 - NYS VETERANS HOME-ST ALBANS		
NYC Veteran Home Agency Advance	JPMorgan Chase Bank, N.A.	No report received
St Albans NYC Vet Home Resid Funds	JPMorgan Chase Bank, N.A.	No report received
St Albans Vet Home Maintenance Acct	NBT Bank	1,210,730.95
12180 - WESTERN NEW YORK VETERANS HOME		
Advance Account	Bank of America, N.A.	4,694.42
Exchange Account	Bank of America, N.A.	35,363.31
Maintenance Account	NBT Bank	846,498.40
Resident Funds	Bank of America, N.A.	184,218.11

12190 - VETERANS HOME AT MONTROSE		
Agency Advance Account	Bank of America, N.A.	10,399.85
Maintenance Acct	NBT Bank	2,038,113.84
Residence Account	Bank of America, N.A.	490,063.05
12200 - OFFICE OF MEDICAID INSPECTOR GENERAL		
Albany Confidential Account	Key Bank	309.59
Albany Petty Cash Account	Key Bank	500.00
NYC Confidential Account	JPMorgan Chase Bank, N.A.	185.66
14000 - DEPARTMENT OF LABOR		
Agency Advance Account	Key Bank	29,184.96
Exchange Account	Bank of America, N.A.	79,008.79
Fee And Permit Account	Key Bank	869,498.67
Min Wage & Claim Funding Acct	Key Bank	310,702.75
Minimum Wage & Wage Claim Acct	Key Bank	770,560.45
Misc Receipts	Bank of America, N.A.	155,076.41
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	20,740,127.33
UI Fund ACH Transactions	Wells Fargo Bank	8,000,000.00
16000 - PUBLIC SERVICE COMMISSION		
Advance For Travel	Key Bank	15,000.00
Cable Account	Key Bank	5,632.61
Petty Cash Account	Key Bank	13,125.47
Special Fee Account	Key Bank	11,078.81
17000 - NYS DEPARTMENT OF TRANSPORTATION		
Contractors Bid And Guarantee	Key Bank	164,972.30
Driver Improvement Program (DIP)	Key Bank	17,036.31
Emergency Card Funding Account	Bank of America, N.A.	247,132.81
Main Office Advance For Travel	Key Bank	170,345.92
Revenue Unit	Key Bank	310,699.27
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	65,630.64
17100 - NYS DEPARTMENT OF TRANSPORTATION-REGION 10		
Region 10 Advance For Travel	Citibank	No report received
19000 - DEPARTMENT OF STATE		
Atheltic	M&T Bank	No report received
Licensing Revenue Account	JPMorgan Chase Bank, N.A.	No report received
Main	M&T Bank	No report received
Petty Cash Account	Key Bank	No report received
Summons	M&T Bank	No report received
19001 - TUG HILL COMMISSION		
Agency Advance Account	Key Bank	No report received
19002 - LAKE GEORGE PARK COMMISSION		
Petty Cash Account	Glens Falls National	No report received
Revenue Transfer Account	Glens Falls National	No report received
19005 - COMMISSION ON PUBLIC INTEGRITY		
JCOPE Petty Cash Account	Bank of America, N.A.	157.90
JCOPE Revenue Account	Bank of America, N.A.	19,076.17
20000 - DEPARTMENT OF TAXATION & FINANCE		
Advance Tax Enforcement	Bank of America, N.A.	26,149.50
Exchange	Bank of America, N.A.	124,793.50
Fee Account	Key Bank	215,620.26
IFTA Funding	JPMorgan Chase Bank, N.A.	2,494.06
Misc Tax Account - Exchange	Bank of America, N.A.	27,224.08
NYS OSC Concentration CID Search Warrant	Key Bank	607,454.47
Petty Cash	Bank of America, N.A.	53,666.00
Tax Preparer Fees Account	JPMorgan Chase Bank, N.A.	43,000.00
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	40,000.00
Waste Tire Fee (EFT)	Wells Fargo Bank	40,606.02
Waste Tire Tax	JPMorgan Chase Bank, N.A.	45,699.66
20050 - DIVISION OF THE LOTTERY		
Custody Account	US Bank	No report received
Lottery Concentration Account	Key Bank	811,801.86
Lottery Prize Payment Account	Key Bank	1,901,381.00
Lottery Subscriptions Account	Key Bank	635,728.87
Video Gaming Revenue Account	Key Bank	12,081,011.90
21012 - WELFARE INSPECTOR GENERAL		
Confidential Fund	Bank of America, N.A.	No report received
Confidential Fund	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
21110 - OFFICE OF REGULATORY REFORM		
Petty Cash	Key Bank	No report received
21290 - HUDSON RIVER-BLACK RIVER REGULATING DISTRICT		
Checking- General Fund Acct.	Community Bank	(61,109.94)
Checking- Petty Cash Fund	Community Bank	5,000.00
Hudson River General Acct	Bank of America, N.A.	27,753.44

Money Market	Bank of America, N.A.	907.18
Petty Cash Fund	Bank of America, N.A.	6,500.00
21700 - OFFICE OF THE STATE INSPECTOR GENERAL		
Office Of The State Inspector General Confidential Account	JPMorgan Chase Bank, N.A.	No report received
Office Of The State Inspector General Pass Thru Account	Key Bank	No report received
OSIG Confidential Account	Key Bank	No report received
OSIG Petty Cash Account	Key Bank	No report received
21820 - STATE COMMISSION ON JUDICIAL CONDUCT		
Petty Cash Account	JPMorgan Chase Bank, N.A.	291.42
Petty Cash Account	Key Bank	101.45
Petty Cash Fund	JPMorgan Chase Bank, N.A.	174.78
21940 - NYS FINANCIAL CONTROL BOARD		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received
23000 - DEPARTMENT OF MOTOR VEHICLES		
Abany Central Main Acct		
Albany Central Main Acct	Wells Fargo Bank	350,374.18
Albany Central Main Exchange		
Exchange	Wells Fargo Bank	51,500.64
Albany Central Office		
Title Escrow Exchange (Albany Central Office)	Wells Fargo Bank	1,663.50
Albany TVB Sub (Albany Central Office)		
Adjudication Account	Wells Fargo Bank	165,045.78
Administrative Adj	M&T Bank	No report received
Albany-Region 3		
Confidential Inv Subpoena - Albany	Key Bank	No report received
Allegany-Belmont		
County Clerk Fee Allegany	Steuben Trust Co.	6,980.53
Andirondack Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	92,543.12
Buffalo-Region 5		
MV- Buffalo Investigator & Subpoena	M&T Bank	1,248.00
Capital Saratoga Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	94,843.82
Catskill Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	111,321.56
Central Leatherstocking		
County Fee Account	JPMorgan Chase Bank, N.A.	65,536.92
Chautaqua-Steuben		
County Fee Acct	JPMorgan Chase Bank, N.A.	50,589.35
Chautauqua County		
Holding Acct-Chautauqua County	Community Bank	No report received
Holding Acct-Chautauqua County	Key Bank	No report received
Holding Acct-Chautauqua County	M&T Bank	No report received
Chemical Concentration (CTY)(OSC)		
Chemical Concentration (CTY)(OSC)	First Niagara Bank	No report received
Chemical Concentration (DO)(OSC)		
Chemical Concentration (DO)(OSC)	First Niagara Bank	No report received
Confidential Fund (Albany Central Office)		
Confidential Fund	Bank of America, N.A.	5,213.00
CTY Credit Card (Albany Central Office)		
County Office Credit Card Account	JPMorgan Chase Bank, N.A.	1,475,809.52
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	35,400.33
D.O. Credit Card (Albany Central Office)		
District Office Credit Card Account	JPMorgan Chase Bank, N.A.	4,181,444.85
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	17,288.32
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	49,986.44
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	50,787.44
Genesee County		
Genesee County Clerk - DMV	Bank of Castile	No report received
Greene County		
Fee Account - Greene	Greene County Commercial Bank	No report received
HCK,WHD,BYS,PSK,WPD,BRX,BXI,BRK		
Revenue Account - Downstate	Wells Fargo Bank	960,403.27
Hudson Valley		
County Fee Acct	JPMorgan Chase Bank, N.A.	112,650.02
IRP (Albany Central Office)		
International Registration	M&T Bank	1,236,743.45
International Registration	Wells Fargo Bank	59,658.71

IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	146,433.04
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	203,910.25
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	729,307.10
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	54,546.06
Office Fee (Albany Central Office)		
Office Fee	Wells Fargo Bank	11,790.73
Oneida County		
DMV Oneida County Fee Account	Bank of Utica	140,982.42
Oneida County Fee Account	NBT Bank	125,947.19
Petty Cash (Albany Central Office)		
Petty Cash	Bank of America, N.A.	39,395.24
Queens-Region 6		
Confidential - Queens	JPMorgan Chase Bank, N.A.	4,130.00
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	160,291.70
Search Exchange (Albany Central Office)		
MV Search	First Niagara Bank	No report received
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	670,972.54
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	No report received
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	239,648.02
Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	5,000.00
TVB Acct		
TVB Acct	Wells Fargo Bank	319,240.31
TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	646,875.84
Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	No report received
Utica D.O.		
Exchange Account	Bank of Utica	No report received
Revenue Utica	Bank of Utica	No report received
Yonkers-Region 2		
Safety Sup Automotive FAC INSP	JPMorgan Chase Bank, N.A.	1,625.00
25000 - OFFICE OF CHILDREN & FAMILY SERVICES		
Brentwood Resid Advance	JPMorgan Chase Bank, N.A.	418.00
Brentwood Resid Center Cash Advance	JPMorgan Chase Bank, N.A.	553.79
Bronx CMSO Cash Advance #237	JPMorgan Chase Bank, N.A.	500.00
Brooklynn Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	500.00
Brookwood Cash Advance	Key Bank	894.75
Brookwood Resid Residential Cash	Key Bank	15,652.42
Check Exchange	Bank of America, N.A.	697,384.00
CO Independent Living Acct	Bank of America, N.A.	1,570.00
Co. Training Employment Dev (Youth Stipend)	Bank of America, N.A.	25,000.00
Columbia Girls Secure Center-Advance Acct	Bank of America, N.A.	541.59
Columbia Girls Secure Center-Youth Savings	Bank of America, N.A.	2,144.33
Ella Mcqueen Reception Center For Boys	Bank of America, N.A.	500.00
Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	5,811.78
Fingerlakes Res Ctr Cash Advance	Tompkins County Trust	1,965.78
Goshen Cash Advance	Bank of America, N.A.	1,779.68
Goshen Residents Account	Bank of America, N.A.	18,167.60
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	1,836.88
Highland Res Ctr Residents Acct	Bank of America, N.A.	3,167.66
Home Office Care & Maintenance Account	Bank of America, N.A.	0.00
Industry Advance Account	JPMorgan Chase Bank, N.A.	1,402.93
Industry Res Account	JPMorgan Chase Bank, N.A.	1,825.90
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	0.00
MacCormick Cash Advance	Tompkins County Trust	1,086.84
MacCormick Resid Advance	Tompkins County Trust	9,651.53
Manhattan CMSO	JPMorgan Chase Bank, N.A.	500.00
Medicaid Reimbursement Exchange	Bank of America, N.A.	1,052,983.66
Mid Hudson #236	Bank of America, N.A.	500.00
NYS OCFS Advance Acct (Travel & Misc P.C.)	Bank of America, N.A.	14,600.00
NYS OCFS Salary Advance Account	Bank of America, N.A.	18,000.00
Queens CMSO Cash Advance	Bank of America, N.A.	400.00
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	433.00

Red Hook Res Ctr Resident Cash	Key Bank	175.95
Red Hook Resid Ctr Cash Advance	Key Bank	20.87
Rochester Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	624.00
SCR Credit Card Revenue Account	Bank of America, N.A.	10,325.00
State Central Register	Bank of America, N.A.	109,374.00
Taberg Cash Advance Account	M&T Bank	705.72
Taberg Residents Account	M&T Bank	421.43
Training Academy Cash Advance	Bank of America, N.A.	0.00
Youth Leadership Academy	NBT Bank	3,125.62
Youth Leadership Cash Advance	NBT Bank	83.41
27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE		
Exchange Account	Key Bank	0.70
Title IV D Of Social Security	Key Bank	582,344.37
Travel Advance	Key Bank	10,000.00
28010 - SUNY ALBANY		
Fee Account	Key Bank	1,318,432.25
Loan Services Center Account	Key Bank	114,457.44
Petty Cash/Travel Advance	Key Bank	30,115.00
28020 - SUNY BINGHAMTON		
SUNY Binghamton	M&T Bank	10,717,855.65
SUNY Binghamton - Controlled Disb	M&T Bank	0.00
SUNY Binghamton - Petty Cash	M&T Bank	74,495.80
28030 - SUNY BUFFALO		
Agency Advance Account	Bank of America, N.A.	2,400.00
Controlled Disbursement Account	Bank of America, N.A.	0.00
General Revenue Account	Bank of America, N.A.	1,477,039.03
General Revenue Account	Key Bank	0.00
Imprest Account	Key Bank	5,696.57
28050 - SUNY STONY BROOK		
Central Funding	JPMorgan Chase Bank, N.A.	1,204,816.71
Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Fees Depository	JPMorgan Chase Bank, N.A.	1,967,977.72
LISVH Fees Depository	JPMorgan Chase Bank, N.A.	134,759.64
LISVH Fees Depository	Sterling Bank	244,210.11
LISVH Residence Fund	Sterling Bank	366,741.92
Payroll Advance	JPMorgan Chase Bank, N.A.	8,000.00
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	0.00
State Consolidated Petty Cash/Travel Advance	JPMorgan Chase Bank, N.A.	32,751.00
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	18,362.75
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	7,443,273.68
University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,358.47
28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN		
Center Revenue	JPMorgan Chase Bank, N.A.	353,821.95
EFT Federal Deposits Acct	JPMorgan Chase Bank, N.A.	0.00
Hospital Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Hospital Revenue	JPMorgan Chase Bank, N.A.	10,633,736.10
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
LICH Depository	JPMorgan Chase Bank, N.A.	74,663.66
Petty Cash	JPMorgan Chase Bank, N.A.	65,106.01
Student Refunds	JPMorgan Chase Bank, N.A.	0.00
28110 - SUNY HEALTH SCIENCE CENTER AT SYRACUSE		
College Revenue	Key Bank	182,730.54
Controlled Disbursement	Key Bank	(30.00)
Hospital Revenue	Key Bank	9,583,969.07
Parking	Key Bank	15,170.80
28150 - SUNY BROCKPORT		
Agency Advance	M&T Bank	28,150.00
Brockport-REOC Account	Key Bank	5,605.67
Concentration Acct	M&T Bank	328,718.53
Controlled Disb	M&T Bank	0.00
28160 - SUNY BUFFALO STATE COLLEGE		
Advance Account	M&T Bank	93,835.99
Controlled Disb	M&T Bank	0.00
Dept Public Safety	M&T Bank	0.00
Special Grant Account	M&T Bank	3,757.89
Students Acct Office	M&T Bank	136,176.53
28170 - SUNY CORTLAND		
General Checking Account	Key Bank	227,514.09
Petty Cash	Key Bank	33,850.00
28180 - SUNY FREDONIA		
Controlled Disb	M&T Bank	0.00
Depository Account	M&T Bank	441,552.71
Petty Cash	M&T Bank	27,900.00
28190 - SUNY GENESEO		

Advance Account	Key Bank	46,908.68
Controlled Disbursement Account	Key Bank	3,247.50
State Fees	Key Bank	1,033,349.06
28200 - SUNY OLD WESTBURY		
Local Depository	JPMorgan Chase Bank, N.A.	63,833.40
Petty Cash	JPMorgan Chase Bank, N.A.	17,000.00
28210 - SUNY NEW PALTZ		
Disbursement Account	Key Bank	0.00
Petty Cash	Key Bank	68,811.67
State Revenue	Key Bank	178,474.63
28220 - SUNY ONEONTA		
Petty Cash Advance Account	NBT Bank	63,237.00
Revenue Account	NBT Bank	5,727,498.87
28230 - SUNY OSWEGO		
Controlled Disbursement	Key Bank	0.00
General Revenue	Key Bank	1,469,077.73
Imprest Account	Key Bank	37,935.78
28240 - SUNY PLATTSBURGH		
General Revenue	TD Bank	4,803,872.10
Petty Cash	Glens Falls National	12,069.01
28250 - SUNY POTSDAM		
NYS University College At Potsdam	HSBC	(422,494.85)
Petty Cash	HSBC	45,803.77
State Fee Account	Key Bank	0.00
State Fee Reconciliation Account	HSBC	92,771.71
28260 - SUNY PURCHASE		
General Income Fund	Key Bank	247,232.24
Petty Cash/Travel	Key Bank	500.00
SUNY Purchase	Key Bank	0.00
28270 - SUNY INSTITUTE OF TECHNOLOGY UTICA/ROME		
Advance Account	Bank of America, N.A.	9,546.44
Controlled Disbursement Account	Bank of America, N.A.	0.00
Revenue	Bank of America, N.A.	401,186.80
28280 - SUNY EMPIRE STATE COLLEGE		
Concentration Account	Key Bank	164,545.86
Distribution Center Account	Key Bank	56,385.86
Zero Balance Controlled Disbursement Account	Key Bank	0.00
28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED		
Fees Account	Community Bank	2,398,676.78
Petty Cash Account	Community Bank	33,110.00
28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON		
Community Cash Deposits	NBT Bank	8,079.42
Consolidated Advance	Key Bank	30,010.00
Dental Hygiene	NBT Bank	2,449.00
Income Fund	Key Bank	296,308.48
International Program Account	Key Bank	302.64
28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL		
Income Fund	Key Bank	489,032.83
28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI		
General Revenue	Delaware National Bank	264,578.84
Petty Cash Fund	Delaware National Bank	21,283.99
28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE		
Advance Account	Citibank	25,527.46
Income Fund	Citibank	1,080,416.69
28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE		
Income Fund	Key Bank	1,000,179.33
Revenue Account	NBT Bank	9,659.72
28550 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY		
Advance Account	M&T Bank	0.00
Agency Advance	Key Bank	21,353.87
Controlled Disb	Key Bank	0.00
Forestry	Community Bank	258.72
Regular Account	Key Bank	290,568.12
Revenue Account	M&T Bank	0.00
Student Government	Key Bank	183,581.15
28559 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY-CURRENT		
NYS College Of Environmental	HSBC	0.00
28570 - SUNY MARITIME COLLEGE		
Controlled Disbursement Account	JPMorgan Chase Bank, N.A.	0.00
Cruise Account	JPMorgan Chase Bank, N.A.	45,901.52
Petty Cash Account	JPMorgan Chase Bank, N.A.	7,916.13
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	356,553.27
Revenue EFT Account	JPMorgan Chase Bank, N.A.	8,626.22
28580 - SUNY COLLEGE OF OPTOMETRY		

Consolidated Advance	JPMorgan Chase Bank, N.A.	3,300.00
General Revenue	JPMorgan Chase Bank, N.A.	132,301.12
Medical Transportation	JPMorgan Chase Bank, N.A.	218.88
28650 - SUNY CENTRAL SYSTEM ADMINISTRATION		
ASC	Key Bank	10,000.00
NYS Iso	Key Bank	1,945,391.42
Petty Cash	Key Bank	5,000.00
Revenue	Key Bank	57,321.22
37000 - DEPARTMENT OF FINANCIAL SERVICES		
Confidential Investigations	JPMorgan Chase Bank, N.A.	12,187.35
Confidential Investigations	JPMorgan Chase Bank, N.A.	8,856.18
Fire Tax Account (Main)	Key Bank	(1,158.29)
Fire Tax Payment	Key Bank	0.00
General Assessment Account	JPMorgan Chase Bank, N.A.	58,381.57
General Fund	Key Bank	134,956.25
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	89,330,442.25
Miscellaneous Account	JPMorgan Chase Bank, N.A.	57,417.91
Petty Cash	Key Bank	5,097.53
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	100,010.63
49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION		
Contractors Bid (SA)	Bank of America, N.A.	66,231.68
Revenue (SA)	Glens Falls National	5,779.71
49020 - LONG ISLAND STATE PARK COMMISSION		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	20,541.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	209,809.91
Revenue (LI)	Suffolk County National	77,509.63
49030 - GENESEE STATE PARK COMMISSION		
Contractors Bid (GE)	Bank of Castile	38,456.88
Revenue (GE)	Bank of Castile	620,047.97
49040 - NIAGARA FRONTIER STATE PARK COMMISSION		
Contractors Bid (NIA)	Key Bank	582.23
Revenue (NIA)	Evans National Bank	15,577.00
49050 - PALISADES INTERSTATE STATE PARK COMMISSION		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	2,859.84
49070 - OFFICE OF PARKS & RECREATION		
Main Office - Change Fund	Key Bank	14,510.00
Main Office Account (ALB)	Key Bank	1,500.00
OPRHP Concentration Account	First Niagara Bank	181,981.80
Petty Cash (ALB)	Key Bank	39,687.25
Revenue (NI, GE, AL, CE, TA)	M&T Bank	91,807.04
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	183,902.30
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	43,935.71
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	93,093.51
Revenue (various)	Wells Fargo Bank	77,151.59
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	419,607.22
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	First Niagara Bank	439,515.79
Statewide Housing Security Deposits	Key Bank	170,615.31
49090 - FINGER LAKES STATE PARK COMMISSION		
Contractors Bid (FL)	Tompkins County Trust	14,771.78
Revenue (FL)	Savannah Bank	166,955.28
Revenue (FL-Multi)	Community Bank	37,767.20
Revenue (FL-Multi-Facilities)	Tompkins County Trust	616,112.18
49100 - ALLEGANY STATE PARK COMMISSION		
Contractors Bid (AL)	Five Star Bank	1,035.00
Regional Account (AL)	Five Star Bank	99,812.55
Revenue (AL)	Five Star Bank	248,758.46
49120 - CENTRAL NEW YORK STATE PARK COMMISSION		
Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	13,699.92
Revenue (CE, SA, TI)	NBT Bank	86,912.13
49130 - TACONIC STATE PARK COMMISSION		
Contractors Bid (TA)	M&T Bank	2,976.92
49140 - THOUSAND ISLANDS STATE PARK COMMISSION		
Revenue (TI -Long Point River)	Citizens Bank	11,781.84
Revenue (TI)	Citizens Bank	15,318.06
Revenue (TI-Multi)	Community Bank	16,113.51
50000 - OFFICE OF MENTAL HEALTH		
Consolidated Advance	Bank of America, N.A.	4,477.77
Iterim Assistance Agreement	Bank of America, N.A.	0.00
OMH Medication Grant Program Acct	Bank of America, N.A.	74,199.32
Petty Cash Manufacturing	Bank of America, N.A.	300.00
Reimbursement Account	Bank of America, N.A.	6,836,132.51
50010 - GREATER BINGHAMTON HEALTH CENTER		
Agency Advance Account	JPMorgan Chase Bank, N.A.	26,474.50

Facility Holding Account	JPMorgan Chase Bank, N.A.	13,427.24
Patient Cash Funds	JPMorgan Chase Bank, N.A.	445,337.42
Patients Cash Account	JPMorgan Chase Bank, N.A.	85,187.37
Security Deposit	JPMorgan Chase Bank, N.A.	2,994.22
50020 - KINGSBORO PSYCHIATRIC CENTER		
Advance Account	Banco Popular	No report received
Family Care	Banco Popular	14,290.87
Holding Account	Banco Popular	179,817.95
Medicaid Outpatient Travel	Banco Popular	5,389.97
Patient Cash Acct (MM)	Banco Popular	452,158.91
Patient Checking Account	Citibank	22,510.65
Patient Savings Account	Banco Popular	332,462.95
Security Deposit	Banco Popular	2,488.18
Urban Oasis/EBT	Banco Popular	13,264.45
50030 - BUFFALO PSYCHIATRIC CENTER		
Advance Account	M&T Bank	42,802.08
Employee Building & Donation	M&T Bank	18,189.13
Facility Holding	M&T Bank	6,964.45
Patient Cash Checking	M&T Bank	139,356.26
50060 - HUDSON RIVER PSYCHIATRIC CENTER		
Patients Cash	JPMorgan Chase Bank, N.A.	(12,614.62)
50080 - MANHATTAN PSYCHIATRIC CENTER		
Advance Account	Hudson Valley National Bank	45,917.46
CD	Hudson Valley National Bank	425,038.94
General Fund Checking	Hudson Valley National Bank	4,288.47
Patient Cash Checking	Hudson Valley National Bank	555,652.68
Patients Money Market	Hudson Valley National Bank	72,717.61
Social Service Tokens	Hudson Valley National Bank	8,772.12
50110 - ROCHESTER PSYCHIATRIC CENTER		
Agency Advance	Key Bank	30,711.04
Facility Holding	Key Bank	43,521.83
Patients Cash Account	Key Bank	237,687.05
Patients Fund Savings	Key Bank	99,395.73
50120 - ST LAWRENCE PSYCHIATRIC CENTER		
Facility Advance Account	Community Bank	24,689.72
Facility Holding Account	Community Bank	20,166.85
Patients Cash Account	Community Bank	33,564.68
Patients Cash Savings	Community Bank	309,248.91
50150 - CREEDMOOR PSYCHIATRIC CENTER		
Advance Account	HSBC	74,880.64
Certificate Of Deposit	HSBC	150,000.00
Certificate Of Deposit	HSBC	250,000.00
Holding Account	HSBC	17,479.48
Medicaid Travel Account	HSBC	0.00
Money Management Account	HSBC	763,205.48
Patient Cash Account	HSBC	83,363.63
Rent Holding Account	HSBC	3,491.00
50170 - ROCKLAND PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	50,010.36
Exchange Account	JPMorgan Chase Bank, N.A.	103,281.96
Holding Account	JPMorgan Chase Bank, N.A.	20,450.16
Investment CD	Provident Bank	100,123.29
Investment CD	Sterling Bank	100,045.82
Investment CD	Sterling Bank	100,064.51
Investment CD	Sterling Bank	100,049.61
Investment CD	Sterling Bank	100,064.51
Investment CD	Sterling Bank	100,049.20
Patient Cash Account	JPMorgan Chase Bank, N.A.	50,000.00
Patient Cash Checking Account	JPMorgan Chase Bank, N.A.	259,318.66
Patient Cash Savings Account	JPMorgan Chase Bank, N.A.	727,917.73
50180 - NYS PSYCHIATRIC INSTITUTE		
Donation & Gift Acct/Patient Fund Acct	JPMorgan Chase Bank, N.A.	3,624.21
General	JPMorgan Chase Bank, N.A.	12,645.93
Petty Cash	JPMorgan Chase Bank, N.A.	1,785.04
50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER		
Advance Account	Key Bank	18,886.99
Clients Count	Key Bank	167,810.50
Holding Account	Key Bank	19,079.66
50200 - PILGRIM PSYCHIATRIC CENTER		
Facility Advance Account	JPMorgan Chase Bank, N.A.	64,291.70
Facility Holding Acct	JPMorgan Chase Bank, N.A.	196,343.72
Family Care Advance Account	JPMorgan Chase Bank, N.A.	0.00
Patient Cash	JPMorgan Chase Bank, N.A.	634,108.27
50210 - MOHAWK VALLEY PSYCHIATRIC CENTER		

Advance Fund	First Niagara Bank	17,111.84
Facility Holding	First Niagara Bank	13,181.24
Patient Cash Checking	First Niagara Bank	19,975.36
Patient Cash Savings	First Niagara Bank	54,246.25
Security Deposit	First Niagara Bank	6,497.17
50310 - BRONX PSYCHIATRIC CENTER		
CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	20,094.16
Misc. Receipts	JPMorgan Chase Bank, N.A.	26,907.13
Patients Cash MM	JPMorgan Chase Bank, N.A.	84,378.53
Patients Checking Acct	JPMorgan Chase Bank, N.A.	647,259.00
50340 - NATHAN KLINE INSTITUTE		
Petty Cash Account	JPMorgan Chase Bank, N.A.	1,170.08
50350 - KIRBY FORENSIC PSYCHIATRIC CENTER		
Consolidated Advance Account	Hudson Valley National Bank	15,402.19
Holding Account	Hudson Valley National Bank	9,070.51
Patient Cash Account	Hudson Valley National Bank	78,917.68
50390 - CENTRAL NY PSYCHIATRIC CENTER		
Agency Advance Account	First Niagara Bank	9,653.29
General Fund	First Niagara Bank	6,300.43
Patient Checking	First Niagara Bank	44,364.69
Patient Savings	First Niagara Bank	110,846.59
Security Deposit	First Niagara Bank	1,581.48
50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	15,975.00
Facility Holding Account	Key Bank	880.50
Patients Account	Key Bank	125,971.29
50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER		
Petty Cash Advance Account	Banco Popular	5,850.57
50790 - SOUTH BEACH PSYCHIATRIC CENTER		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	14,507.12
Facility Holding Checking	JPMorgan Chase Bank, N.A.	19,755.27
Family Care Checking	JPMorgan Chase Bank, N.A.	1,500.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	315,495.40
50800 - BRONX CHILDRENS PSYCHIATRIC CENTER		
General Fund	JPMorgan Chase Bank, N.A.	6,651.03
50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER		
Agency Advance	M&T Bank	1,893.58
Exchange Account	M&T Bank	1,425.78
Patients Cash Acct	M&T Bank	300.00
50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	36,469.02
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	16,907.00
50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	12,287.36
50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER		
Money Management Account	HSBC	16,095.94
Queens Adv Acct	HSBC	9,593.90
Queens Childrens Account	HSBC	9,297.01
50920 - ELMIRA PSYCHIATRIC CENTER		
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Facility Advance Account	Chemung Canal Trust	11,598.72
General Fund Account	Chemung Canal Trust	0.00
IMMA	Chemung Canal Trust	43,698.93
Patients Fund Account	Chemung Canal Trust	98,707.20
50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	1,530.72
Facility Holding Account	Key Bank	80,154.63
Parking Garage Account	Key Bank	230,353.25
Patients Cash Checking Account	Key Bank	122,824.99
Patients Cash Savings Account	Key Bank	325,959.75
51000 - OFFICE OF MENTAL RETARDATION & DEVELOPMENTAL DISABILITIES		
DIS Funded Depreciation Acct	Bank of America, N.A.	549.99
MMIS Intercept Debt Serv Acct	Bank of America, N.A.	0.00
Petty Cash Acct	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	131,082,535.47
Travel Advance Account	Bank of America, N.A.	No report received
51210 - HUDSON VALLEY DDSO		
EBT Checking	JPMorgan Chase Bank, N.A.	No report received
Exchange Account	JPMorgan Chase Bank, N.A.	No report received
General Fund	JPMorgan Chase Bank, N.A.	No report received
Investor's Choice Savings	JPMorgan Chase Bank, N.A.	No report received

Petty Cash	JPMorgan Chase Bank, N.A.	No report received
PTS Cash Checking	JPMorgan Chase Bank, N.A.	No report received
51240 - CENTRAL NY DDSO		
Advance Account	M&T Bank	17,881.60
Advance Accounts	Key Bank	16,472.60
Clients Account	Key Bank	68,897.77
Consumer Cash - Checking	M&T Bank	70,631.02
Consumer Cash - Savings	Key Bank	1,806,706.21
Consumer Cash - Savings	M&T Bank	2,367,689.03
EBT Checking Account	Key Bank	176,780.04
Exchange Account	Key Bank	6,632.41
51250 - TACONIC DDSO		
Agency Advance Account	M&T Bank	56,927.84
Electronic Benefits Transfer	M&T Bank	458.51
General Fund	M&T Bank	27,962.19
Patients Cash Checking	M&T Bank	475,823.82
Patients Fund Savings	M&T Bank	2,161,398.15
51270 - STATEN ISLAND DDSO		
Clients Cash Account	JPMorgan Chase Bank, N.A.	376,087.43
General Fund Account	JPMorgan Chase Bank, N.A.	0.00
Money Market Account	JPMorgan Chase Bank, N.A.	274,750.13
Petty Cash Account	JPMorgan Chase Bank, N.A.	9,767.36
Staten Island DDSO EBT Checking Acct	JPMorgan Chase Bank, N.A.	0.00
51290 - CAPITAL DISTRICT DDSO		
Agency Advance Account	Key Bank	No report received
Agency Advance Account	The Adirondack Trust Company	No report received
Consumer EBT Fund / Fiduciary Account	Key Bank	No report received
Consumers Fund / Fiduciary Account	Key Bank	No report received
Patients Account Direct Deposit / Fiduciary Acct	The Adirondack Trust Company	No report received
Patients Fund Operating Acct / Fiduciary Acct	The Adirondack Trust Company	No report received
Summer Camp - Fiduciary Acct	The Adirondack Trust Company	No report received
51330 - WESTERN NY DDSO		
Agency Advance Account	M&T Bank	39,563.30
CD-Patient Property Funds	Key Bank	3,374,407.34
Exchange Account	M&T Bank	21,279.29
Food Stamp Account	M&T Bank	412,464.16
General Account	Community Bank	154,048.26
Patient Property Funds	M&T Bank	357,299.26
WNY DDSO Perrysburg Client Cash	M&T Bank	158,653.07
51350 - LONG ISLAND DDSO		
Consolidated Advance	JPMorgan Chase Bank, N.A.	9,156.73
EBT Checking Account	JPMorgan Chase Bank, N.A.	512,581.67
General Fund	JPMorgan Chase Bank, N.A.	16,219.21
Patient Cash	JPMorgan Chase Bank, N.A.	1,688,718.10
51380 - BROOKLYN DDSO		
CD	Banco Popular	No report received
Consumers Fund	JPMorgan Chase Bank, N.A.	No report received
Consumers Money Management	JPMorgan Chase Bank, N.A.	No report received
Food Stamps Benefits	JPMorgan Chase Bank, N.A.	No report received
Miscellaneous Receipts	JPMorgan Chase Bank, N.A.	No report received
Petty Cash - Degraw Street	JPMorgan Chase Bank, N.A.	No report received
Petty Cash - Mental Hygiene Brooklyn	JPMorgan Chase Bank, N.A.	No report received
Thomas Shirtz Community Service	JPMorgan Chase Bank, N.A.	No report received
51420 - SUNMOUNT DDSO		
Certificate of Deposit	Community Bank	No report received
Community Store Fund	Community Bank	No report received
EBT	Community Bank	No report received
Exchange Fund	Community Bank	No report received
Residents Fund	Community Bank	No report received
Sunmount Advance Account	Community Bank	No report received
Sunmount EBT Checking Account	Community Bank	No report received
51430 - INSTITUTE FOR BASIC RESEARCH IN DEVELOPMENTAL DISABILITIES		
Petty Cash	JPMorgan Chase Bank, N.A.	12,526.24
51450 - METRO NY DDSO		
Consolidated Acct	JPMorgan Chase Bank, N.A.	15,121.97
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	26,710.38
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	612,965.70
Metro NY DDSOO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	805,011.73
Patients Cash Account	JPMorgan Chase Bank, N.A.	22,578.48
Patients Money Market Account	JPMorgan Chase Bank, N.A.	0.04
Petty Cash	JPMorgan Chase Bank, N.A.	6,402.75
51470 - BERNARD M FINESON DDSO		
Bernard Fineson DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	15,626.00
Money Market Account	JPMorgan Chase Bank, N.A.	303,290.98

Patient Fund Account	JPMorgan Chase Bank, N.A.	531,272.97
Petty Cash Fund	JPMorgan Chase Bank, N.A.	16,656.24
51780 - FINGER LAKES DDSO		
Advance Account	JPMorgan Chase Bank, N.A.	82,794.02
F.L. Newark Resident Checking	Community Bank	83,484.24
Finger Lakes Geneseo CD	Key Bank	1,000,000.00
Finger Lakes Monroe CD	Key Bank	800,000.00
Finger Lakes Newark CD	Key Bank	1,850,000.00
Finger Lakes Resident Checking	JPMorgan Chase Bank, N.A.	357,655.94
FL Vending Machine Account	Community Bank	90,435.45
General Account	JPMorgan Chase Bank, N.A.	70,287.76
Geneseo Client Cash	Bank of America, N.A.	11,200.37
Kelsey Trust Fund	Bank of America, N.A.	5,000.00
Mary Moore Trust Fund	Bank of America, N.A.	20,000.00
Monroe Resident Checking	JPMorgan Chase Bank, N.A.	121,352.46
Monroe Resident Savings	JPMorgan Chase Bank, N.A.	143,819.64
Patient Food Stamp Account	JPMorgan Chase Bank, N.A.	2,111,365.35
51940 - BROOME DDSO		
Broome DDSO	M&T Bank	22,956.47
Broome DDSO - Advance Account	M&T Bank	38,563.15
Broome DDSO - General Fund	M&T Bank	12,625.96
Disabled Individuals Savings	First Niagara Bank	1,792,667.79
Disabled Individuals Savings	M&T Bank	41,660.41
OMRDD Broome DDSO EBT Checking	M&T Bank	136,682.98
53000 - OFFICE OF ALCOHOLISM & SUBSTANCE ABUSE SERVICES		
Agency Advance Acct	Key Bank	No report received
Patient Fees	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	No report received
53020 - KINGSBORO ALCOHOLISM TREATMENT CENTER		
Petty Cash Advance Account	Bank of America, N.A.	716.66
55630 - NYS FOUNDATION FOR SCIENCE, TECHNOLOGY & INNOVATION		
Administrative Monies Account	Key Bank	No report received
Federal Monies Account	Key Bank	No report received
NYS Foundation For Science Technology & Innovation	Key Bank	No report received
70000 - CUNY UNIVERSITY MANAGEMENT & PROGRAM BOARD OF HIGHER EDUCATION		
CUNY Admin Imprest Cash Account	Citibank	No report received
CUNY Admin UAO Travel Advance	Citibank	No report received
70030 - CUNY HUNTER COLLEGE		
Travel Petty Cash Account	Citibank	No report received
70060 - CUNY JOHN JAY COLLEGE		
CUNY JOHN JAY COLLEGE IMPREST FUND	Citibank	No report received
70070 - CUNY LEHMAN COLLEGE		
Lehman College	Citibank	No report received
70080 - CUNY YORK COLLEGE		
York College Imprest Fund	JPMorgan Chase Bank, N.A.	No report received
York College Imprest Funds	Citibank	No report received
York College Travel Advance Fund	Citibank	No report received
York College Travel Allowance	JPMorgan Chase Bank, N.A.	No report received
70100 - CUNY COLLEGE OF STATEN ISLAND		
CSI Imprest Cash	TD Bank	No report received
70120 - CUNY NYC COLLEGE OF TECHNOLOGY		
NY City College Of Technology College Travel Fund	Popular Community Bank	No report received
NY City College Of Technology Technical College Imprest Fund	Popular Community Bank	No report received
70150 - CUNY SCHOOL OF LAW		
CUNY School Of Law	TD Bank	No report received

The above balances represent funds deposited in various banking institutions as reported by the State department and agencies, and published in accordance with Section 107 of the State Finance Law.

Division of the Treasury, Department of Taxation and Finance
Christopher Curtis *Deputy Commissioner and State Treasurer*

FUNDS OF THE DIVISION OF THE TREASURY OF WHICH THE COMMISSIONER OF TAXATION AND FINANCE
IS THE SOLE CUSTODIAN WITH BALANCES AS OF 07/31/2016

ACCOUNT DESCRIPTION		DEPOSITORY	BALANCE AS OF 07/31/2016
COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND			
0226	Upstate Community Colleges, FIT Series 2000A	Key Bank	54,833.77
0231	Upstate Community Colleges, Series 2005A	Key Bank	0.00
0232	Upstate Community Colleges, Series 2005B	Key Bank	118,169.93
0233	Upstate Community Colleges, Series 2005C	Key Bank	109,006.38
DORMITORY AUTHORITY OF THE STATE OF NEW YORK			
0039	Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	101,866,164.44
0070	Hospital and Nursing Home Project Operating Fund	Key Bank	24,777.52
0104	Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	6,489.15
0105	Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	130,123.76
0149	State Advances Repayment Account	Bank of America, N.A.	53.09
1202	DA DFRF MAC #1202 Biinghamton	Key Bank	157,870.50
1203	DA DFRF MAC #1203 Oneonta	Key Bank	45.39
1205	DA DFRF MAC #1205 Delhi	Key Bank	68,978.29
1206	DA DFRF MAC #1206 Buffalo Univ	Key Bank	241,106.26
1207	DA DFRF MAC #1207 Buffalo College	Key Bank	128,658.87
1208	DA DFRF MAC #1208 Alfred	Key Bank	82,491.92
1209	DA DFRF Mac #1209 Fredonia	Key Bank	10,629.99
1211	DA DFRF Mac #1211 Upstate Medical	Key Bank	641,236.38
1212	DA DFRF Mac #1212 Oswego	Key Bank	101,505.78
1214	DA DFRF Mac #1214 Cortland	Key Bank	90.50
1215	DA DFRF MAC #1215 Stony Brook	Key Bank	2,046,461.61
1216	DA DFRF MAC #1216 Old Westbury	Key Bank	93.22
1217	DA DFRF MAC #1217 Farmingdale	Key Bank	51.28
1218	DA DFRF MAC #1218 Downstate Med	Key Bank	62.62
1219	DA DFRF MAC #1219 Maritime	Key Bank	625.19
1221	DA DFRF MAC #1221 Brockport	Key Bank	83,277.24
1222	DA DFRF MAC #1222 Geneseo	Key Bank	1,068,089.63
1223	DA DFRF MAC #1223 Purchase	Key Bank	263,966.99
1224	DA DFRF MAC #1224 New Paltz	Key Bank	1,392,793.53
1225	DA DFRF MAC #1225 Canton	Key Bank	56.35
1226	DA DFRF MAC #1226 Plattsburgh	Key Bank	21,691.64
1227	DA DFRF MAC #1227 Potsdam	Key Bank	53,093.44
1228	DA DFRF MAC #1228 Morrisville	Key Bank	134.05
1229	DA DFRF MAC #1229 SUNYIT	Key Bank	20.23
1230	DA DFRF MAC #1230 Cobleskill	Key Bank	69,565.42
1239	DA DFRF MAC #1239 Albany	Key Bank	1,307,163.83
1240	Dormitory Authority Collection Account - Mac 1240	Key Bank	0.00
2202	DA OMRR MAC #2202 Binghamton	Key Bank	6,421,295.94
2203	DA OMRR MAC #2203 Oneonta	Key Bank	29.46
2205	DA OMRR MAC #2205 Delhi	Key Bank	1,930,440.56
2206	DA OMRR MAC #2206 Buffalo Univ	Key Bank	1,660,837.09
2207	DA OMRR MAC #2207 Buffalo College	Key Bank	611,282.43
2208	DA OMRR MAC #2208 Alfred	Key Bank	14.97
2209	DA OMRR MAC #2209 Fredonia	Key Bank	80.16
2211	DA OMRR MAC #2211 Upstate Medical	Key Bank	86.53
2212	DA OMRR MAC #2212 Oswego	Key Bank	47.28
2214	DA OMRR MAC #2214 Cortland	Key Bank	3,448,093.78
2215	DA OMRR MAC #2215 Stony Brook	Key Bank	76.25
2216	DA OMRR MAC #2216 Old Westbury	Key Bank	953,344.17
2217	DA OMRR MAC #2217 Farmingdale	Key Bank	54.28
2218	DA OMRR MAC #2218 Downstate Med	Key Bank	123,393.68
2219	DA OMRR MAC #2219 Maritime	Key Bank	1,339,706.69
2221	DA OMRR MAC #2221 Brockport	Key Bank	86.37
2222	DA OMRR MAC #2222 Geneseo	Key Bank	2,222,221.21
2223	DA OMRR MAC #2223 Purchase	Key Bank	37.55
2224	DA OMRR MAC #2224 New Paltz	Key Bank	27.95
2225	DA OMRR MAC #2225 Canton	Key Bank	78.28
2226	DA OMRR MAC #2226 Plattsburgh	Key Bank	66.05
2227	DA OMRR MAC #2227 Potsdam	Key Bank	64.69
2228	DA OMRR MAC #2228 Morrisville	Key Bank	54.66
2229	DA OMRR MAC #2229 SUNYIT	Key Bank	172,357.15
2230	DA OMRR MAC #2230 Cobleskill	Key Bank	2,837,841.70
2239	DA OMRR MAC #2239 Albany	Key Bank	58.55
2240	DA UNALLOCATED FD MAC #2240 System Admin	Key Bank	9,990,552.51
HOMELESS HOUSING ASSISTANCE CORPORATION			
0320	Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	8,647,478.70

NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION			
0315	Nelson A. Rockefeller Empire State Plaza Performing Arts Center Corporation	Key Bank	88,359.29
NEW YORK CONVENTION CENTER			
0300	Operating Fund	JPMorgan Chase Bank, N.A.	9,732,848.13
NEW YORK JOB DEVELOPMENT AUTHORITY			
0036	Special Purpose Fund	Bank of America, N.A.	956,987.71
0371	Series H Commercial Paper	Bank of America, N.A.	248,292.40
0389	Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	82,862.74
0421	Escrow Account for Package Fulfillment Center Inc.	Key Bank	30,861.22
0423	Escrow Account for USA Industries Inc.	Key Bank	37,265.49
0424	Escrow Account for Pluritec USA Inc.	Key Bank	19,777.51
NYS AFFORDABLE HOUSING CORPORATION			
0491	Disbursement Account	JPMorgan Chase Bank, N.A.	1,310,532.21
0520	Development Account	Key Bank	4,599,988.09
0521	Development Account II	Key Bank	0.80
0522	Repayment Account	Key Bank	32,249.21
0523	Recapture Account	Key Bank	9,876.05
0880	Payroll Account	JPMorgan Chase Bank, N.A.	0.00
NYS DEPARTMENT OF TAXATION AND FINANCE			
0510	Excelsior Linked Deposit Fund	Key Bank	0.00
0600	World Trade Center Memorial Foundation Fund Account	Bank of America, N.A.	210,021.17
0625	Advance Acct/Imprest Confidential Fund - Mac 625	Bank of America, N.A.	25,924.00
0626	Criminal Investigation Division - Mac 626	Key Bank	600,857.83
0778	PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800	NYS IRS PIT offset account	Key Bank	1,363,371.57
0827	Stock Transfer Incentive Fund	Key Bank	1,003,215.79
0847	Pari-Mutuel Revenue Transfer Account	Key Bank	0.00
0848	Off-Track Bet Tax Revenue Transfer Account	Key Bank	0.00
NYS ENERGY RESEARCH & DEVELOPMENT AUTHORITY			
0028	Green Jobs - Green New York Fund	Bank of America, N.A.	1,108,871.97
0030	NYS Energy Research and Development Authority	Bank of America, N.A.	(940,426.01)
NYS HOUSING FINANCE AGENCY			
0032	Operating Fund	Key Bank	0.00
0251	Housing Project Repair Fund	Key Bank	31,782.52
0252	Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	36,262.44
0254	Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	521,174.53
0255	Residual Indebtedness Program Operating Fund	JPMorgan Chase Bank, N.A.	120,774.92
0266	Community Related Programs Operating Account	Key Bank	1,058,097.37
0267	Neighborhood Stabilization Program - Round 1	JPMorgan Chase Bank, N.A.	280.85
0268	Neighborhood Stabilization Program 3	JPMorgan Chase Bank, N.A.	32.77
0270	Claims Repayment Account	Key Bank	94,289.48
0271	Pre-Bond Revenue Account	Key Bank	94,945.17
0272	TCAP Account	Key Bank	213.96
0274	NYSHFA Special Reserve Fund	JPMorgan Chase Bank, N.A.	159,613.70
0277	Amalgamated Warbasse Houses Construction Defect Repair Fund	JPMorgan Chase Bank, N.A.	2.40
0283	Small Owner's Assistance Program Account	Key Bank	23,631.68
0285	Public Purpose Account	Key Bank	2,330,863.46
0286	Disbursement Account	Key Bank	1,130,401.90
0287	Infrastructure Development Fund	Key Bank	20,535.92
0288	Mobile Home Cooperative Fund	Key Bank	6,440.56
0290	Low Rent Lease Account	Key Bank	194,453.30
0292	Homeless Housing Initiatives	Key Bank	279,098.65
0295	Castleton Park Escrow	Key Bank	0.00
0296	NYC Contribution PHHF	Key Bank	51,791.12
0879	Payroll Account	JPMorgan Chase Bank, N.A.	125,000.00
NYS HOUSING TRUST FUND CORPORATION			
0458	Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	84,057.60
0460	Escrow Account	M&T Bank	1,621,796.84
0461	Housing Modernization Account	M&T Bank	1,997,605.88
0462	General Custodial Account	M&T Bank	80,455,948.22
0463	General Administrative Account	M&T Bank	0.00
0464	Turnkey Account	M&T Bank	0.00
0465	Home Program Account	M&T Bank	5,858,204.99
0466	Homes for Working Families Account	M&T Bank	20,262,112.66
0467	Section 8 Administrative Account	M&T Bank	17,083,414.10
0468	Small Cities Administrative Account	M&T Bank	0.00
0469	OCR Community Miscellaneous Programs Account	M&T Bank	23,489,296.20
0470	HCV Main Account	Bank of America, N.A.	12,258,901.51
0471	Empire State Relief Fund	M&T Bank	1,623,917.03

0472	Master Escrow Account	Bank of America, N.A.	0.00
0473	Family Self-Sufficiency Account	Bank of America, N.A.	3,971,728.17
0474	Moderate Rehabilitation Account	Bank of America, N.A.	0.00
0475	Reserve Account	Bank of America, N.A.	250,095.55
0476	Voucher Fee Account	Bank of America, N.A.	0.00
0477	Five-Year Mainstream Account	Bank of America, N.A.	535,122.56
0480	OHP Miscellaneous Programs Account	Bank of America, N.A.	3,799,778.70
0891	Small Cities Community Development Block Grant Program	M&T Bank	110,313.07
0892	Disaster Recovery Initiative Account	M&T Bank	6,046,222.18
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	8,311,968.21
NYS INSURANCE DEPARTMENT			
0001	Property/Casualty Insurance Security Fund	Key Bank	182,270.98
0002	Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	417,249.76
0003	Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	637,157.82
0004	Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	378,881.37
NYS TEACHERS RETIREMENT SYSTEM			
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0052	Main Account	JPMorgan Chase Bank, N.A.	(7,383,938.92)
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	2,062,409.90
0854	NYSTRS Electronic Value Transfer System	JPMorgan Chase Bank, N.A.	0.00
STATE INSURANCE FUND			
0053	State Insurance Fund	JPMorgan Chase Bank, N.A.	No report received
0053	State Insurance Fund	Bank of America, N.A.	54,264,942.86
0054	Disability Benefits Fund	JPMorgan Chase Bank, N.A.	No report received
0054	State Insurance Fund	Bank of America, N.A.	1,653,312.23
0055	Aggregate Trust Fund	JPMorgan Chase Bank, N.A.	No report received
0055	State Insurance Fund	Bank of America, N.A.	1,500,807.51
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	74,439.47
STATE UNIVERSITY CONSTRUCTION FUND			
0034	Income Fund	Key Bank	446,835.84
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	29,419.28
0870	Deductions Account	Key Bank	383,943.07
0871	Bio-Tech Incubator at Farmingdale	Key Bank	204,122.68
WORKERS COMPENSATION BOARD			
0006	Fund for Reopened Cases	Bank of America, N.A.	1,676,742.79
0007	Special Disability Fund	Bank of America, N.A.	(16,132,401.26)
0008	Special Fund for Disability Benefits	Key Bank	89,561.96
0008	Special Fund for Disability Benefits	Bank of America, N.A.	76,120.94
0011	Uninsured Employers Fund	Bank of America, N.A.	1,404,060.50
0012	WCB Asset Transfer Account - Mac 12	Bank of America, N.A.	770.53
0013	WCB Assessment Revenue Clearing	Bank of America, N.A.	36,148,424.90

The above balances represent funds deposited in various banking institutions per the records of the Department of Taxation and Finance, Division of Treasury, and published in accordance with Section 107 of the State Finance Law.

Division of the Treasury, Department of Taxation and Finance

Christopher Curtis *Deputy Commissioner and State Treasurer*

Office of the NEW YORK STATE

COMPTROLLER

Comptroller's Monthly Report on State Funds Cash Basis of Accounting

JULY 2016

Office of Operations
Division of Payroll, Accounting and Revenue Services
Bureau of Financial Reporting and Oil Spill Remediation

NYS Comptroller
THOMAS P. DiNAPOLI

STATE OF NEW YORK
OFFICE OF OPERATIONS
DIVISION OF PAYROLL, ACCOUNTING AND REVENUE SERVICES
BUREAU OF FINANCIAL REPORTING AND OIL SPILL REMEDIATION

THOMAS P. DiNAPOLI
STATE COMPTROLLER

COMPTROLLER'S MONTHLY REPORT TO THE LEGISLATURE ON STATE FUNDS - CASH BASIS OF ACCOUNTING

July 31, 2016

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STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(Amounts in millions)

EXHIBIT A

		GENERAL		SPECIAL REVENUE		DEBT SERVICE		CAPITAL PROJECTS		TOTAL GOVERNMENTAL FUNDS				YEAR OVER YEAR	
		MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2015	4 MOS. ENDED JULY 31, 2015	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:															
Personal Income Tax	(4)	$ 1,921.3	$ 11,469.8	$ -	$ 421.5	$ 640.5	$ 3,963.8	$ -	$ -	$ 2,561.8	$ 15,855.1	$ 2,721.9	$ 16,565.9	$ (710.8)	-4.3%
Consumption/Use Taxes		567.9	2,348.8	174.2	704.1	508.3	2,135.9	49.0	199.1	1,299.4	5,387.9	1,287.8	5,287.5	100.4	1.9%
Business Taxes		71.4	1,184.3	67.8	420.9	-	-	66.3	212.7	205.5	1,817.9	257.6	2,034.2	(216.3)	-10.6%
Other Taxes		74.1	336.2	85.2	396.4	102.0	357.5	11.9	23.8	273.2	1,113.9	398.5	1,410.7	(296.8)	-21.0%
Miscellaneous Receipts		86.8	844.9	1,227.4	5,429.1	138.3	137.3	89.5	1,035.1	1,542.0	7,446.4	1,713.4	9,279.5	(1,833.1)	-19.8%
Federal Receipts		-	0.3	3,491.2	15,662.6	1.6	1.6	153.4	663.3	3,646.2	16,327.8	3,878.2	14,884.2	1,443.6	9.7%
Total Receipts		**2,721.5**	**16,184.3**	**5,045.8**	**23,034.6**	**1,390.7**	**6,596.1**	**370.1**	**2,134.0**	**9,528.1**	**47,949.0**	**10,257.4**	**49,462.0**	**(1,513.0)**	**-3.1%**
DISBURSEMENTS:															
Local Assistance Grants:	(3)														
Education		418.3	7,335.7	167.5	1,738.3	-	-	7.8	8.1	593.6	9,082.1	603.8	8,876.6	205.5	2.3%
Environment and Recreation		-	0.9	0.4	1.9	-	-	12.3	26.1	12.7	28.9	13.0	27.8	1.1	4.0%
General Government		10.7	585.1	19.4	83.5	-	-	16.6	105.0	46.7	773.6	40.4	684.4	89.2	13.0%
Public Health:															
Medicaid		1,070.3	4,682.1	3,197.4	12,334.9	-	-	-	-	4,267.7	17,017.0	4,225.4	16,014.1	1,002.9	6.3%
Other Public Health		62.1	552.9	652.1	2,252.9	-	-	9.8	31.4	724.0	2,837.2	629.3	1,975.3	861.9	43.6%
Public Safety		17.0	43.3	119.6	444.7	-	-	2.2	7.3	138.8	495.3	128.4	516.9	(21.6)	-4.2%
Public Welfare		288.6	962.5	272.9	1,130.7	-	-	35.0	50.8	596.5	2,144.0	708.7	2,251.4	(107.4)	-4.8%
Support and Regulate Business		17.2	37.1	1.7	7.7	-	-	46.0	233.8	64.9	278.6	100.5	262.1	16.5	6.3%
Transportation		0.1	34.3	310.4	1,492.1	-	-	77.3	224.4	387.8	1,750.8	347.4	1,563.6	187.2	12.0%
Total Local Assistance Grants		**1,884.3**	**14,233.9**	**4,741.4**	**19,486.7**	**-**	**-**	**207.0**	**686.9**	**6,832.7**	**34,407.5**	**6,796.9**	**32,172.2**	**2,235.3**	**6.9%**
Departmental Operations:															
Personal Service		476.2	2,048.4	568.8	2,517.9	-	-	-	-	1,045.0	4,566.3	1,379.7	4,664.9	(98.6)	-2.1%
Non-Personal Service		131.5	531.8	298.2	1,384.2	14.5	17.5	-	-	444.2	1,933.5	483.9	1,895.6	37.9	2.0%
General State Charges		403.1	3,427.6	27.1	607.1	-	-	-	-	430.2	4,034.7	1,861.8	3,828.6	206.1	5.4%
Debt Service, Including Payments on Financing Agreements		-	-	-	-	25.3	391.4	-	-	25.3	391.4	84.3	668.8	(277.4)	-41.5%
Capital Projects	(1)	-	-	0.2	0.6	-	-	470.7	1,913.7	470.9	1,914.3	568.5	1,735.0	179.3	10.3%
Total Disbursements		**2,895.1**	**20,241.7**	**5,635.7**	**23,996.5**	**39.8**	**408.9**	**677.7**	**2,600.6**	**9,248.3**	**47,247.7**	**11,175.1**	**44,965.1**	**2,282.6**	**5.1%**
Excess (Deficiency) of Receipts over Disbursements		**(173.6)**	**(4,057.4)**	**(589.9)**	**(961.9)**	**1,350.9**	**6,187.2**	**(307.6)**	**(466.6)**	**279.8**	**701.3**	**(917.7)**	**4,496.9**	**(3,795.6)**	**-84.4%**
OTHER FINANCING SOURCES (USES):															
Bond Proceeds (net)		-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	(2)	1,027.1	6,104.1	976.4	3,503.0	301.0	990.0	362.5	846.9	2,667.0	11,444.0	2,623.1	12,036.5	(592.5)	-4.9%
Transfers to Other Funds	(2)	(1,298.4)	(4,215.5)	(127.9)	(593.3)	(1,210.4)	(6,529.5)	(31.2)	(117.8)	(2,667.9)	(11,456.1)	(2,688.4)	(12,108.4)	(652.3)	-5.4%
Total Other Financing Sources (Uses)		**(271.3)**	**1,888.6**	**848.5**	**2,909.7**	**(909.4)**	**(5,539.5)**	**331.3**	**729.1**	**(0.9)**	**(12.1)**	**(65.3)**	**(71.9)**	**59.8**	**83.2%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		**(444.9)**	**(2,168.8)**	**258.6**	**1,947.8**	**441.5**	**647.7**	**23.7**	**262.5**	**278.9**	**689.2**	**(983.0)**	**4,425.0**	**(3,735.8)**	**-84.4%**
Beginning Fund Balances (Deficits)		**7,210.2**	**8,934.1**	**5,296.3**	**3,607.1**	**365.9**	**159.7**	**(652.0)**	**(890.8)**	**12,220.4**	**11,810.1**	**14,763.6**	**9,355.6**	**2,454.5**	**26.2%**
Ending Fund Balances (Deficits)		**$ 6,765.3**	**$ 6,765.3**	**$ 5,554.9**	**$ 5,554.9**	**$ 807.4**	**$ 807.4**	**$ (628.3)**	**$ (628.3)**	**$ 12,499.3**	**$ 12,499.3**	**$ 13,780.6**	**$ 13,780.6**	**$ (1,281.3)**	**-9.3%**

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STATE OF NEW YORK
GOVERNMENTAL FUNDS-STATE OPERATING (*)
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(Amounts in millions)

EXHIBIT A
SUPPLEMENTAL

		GENERAL		STATE SPECIAL REVENUE (**)		DEBT SERVICE		TOTAL STATE OPERATING FUNDS					
		MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2015	4 MOS. ENDED JULY 31, 2015	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:													
Personal Income Tax	(4)	$ 1,921.3	$ 11,469.8	$ -	$ 421.5	$ 640.5	$ 3,963.8	$ 2,561.8	$ 15,855.1	$ 2,721.9	$ 16,565.9	$ (710.8)	-4.3%
Consumption/Use Taxes		567.9	2,348.8	174.2	704.1	508.3	2,135.9	1,250.4	5,188.8	1,241.2	5,085.4	103.4	2.0%
Business Taxes		71.4	1,184.3	67.8	420.9	-	-	139.2	1,605.2	203.9	1,825.9	(220.7)	-12.1%
Other Taxes		74.1	336.2	85.2	396.4	102.0	357.5	261.3	1,090.1	386.6	1,386.9	(296.8)	-21.4%
Miscellaneous Receipts		86.8	844.9	1,213.7	5,349.6	138.3	137.3	1,438.8	6,331.8	1,562.1	7,893.4	(1,561.6)	-19.8%
Federal Receipts		-	0.3	(1.1)	14.2	1.6	1.6	0.5	16.1	1.6	1.7	14.4	847.1%
Total Receipts		2,721.5	16,184.3	1,539.8	7,306.7	1,390.7	6,596.1	5,652.0	30,087.1	6,117.3	32,759.2	(2,672.1)	-8.2%
DISBURSEMENTS:													
Local Assistance Grants:	(3)												
Education		418.3	7,335.7	(0.2)	722.7	-	-	418.1	8,058.4	376.6	7,650.0	408.4	5.3%
Environment and Recreation		-	0.9	0.2	0.4	-	-	0.2	1.3	2.5	3.5	(2.2)	-62.9%
General Government		10.7	585.1	18.4	69.5	-	-	29.1	654.6	22.8	634.9	19.7	3.1%
Public Health:													
Medicaid		1,070.3	4,682.1	641.7	1,902.9	-	-	1,712.0	6,585.0	1,473.0	6,210.8	374.2	6.0%
Other Public Health		62.1	552.9	161.8	752.9	-	-	223.9	1,305.8	366.6	1,063.0	242.8	22.8%
Public Safety		17.0	43.3	7.4	49.8	-	-	24.4	93.1	27.1	109.0	(15.9)	-14.6%
Public Welfare		288.6	962.5	0.1	1.9	-	-	288.7	964.4	402.1	922.6	41.8	4.5%
Support and Regulate Business		17.2	37.1	1.4	7.4	-	-	18.6	44.5	5.6	24.7	19.8	80.2%
Transportation		0.1	34.3	307.8	1,470.9	-	-	307.9	1,505.2	313.1	1,385.0	120.2	8.7%
Total Local Assistance Grants		1,884.3	14,233.9	1,138.6	4,978.4	-	-	3,022.9	19,212.3	2,989.4	18,003.5	1,208.8	6.7%
Departmental Operations:													
Personal Service		476.2	2,048.4	527.5	2,311.7	-	-	1,003.7	4,360.1	1,316.1	4,457.9	(97.8)	-2.2%
Non-Personal Service		131.5	531.8	218.8	1,048.5	14.5	17.5	364.8	1,597.8	411.7	1,578.1	19.7	1.2%
General State Charges		403.1	3,427.6	26.9	547.1	-	-	430.0	3,974.7	1,856.1	3,757.8	216.9	5.8%
Debt Service, Including Payments on Financing Agreements		-	-	-	-	25.3	391.4	25.3	391.4	84.3	668.8	(277.4)	-41.5%
Capital Projects	(1)	-	-	0.2	0.6	-	-	0.2	0.6	0.1	0.3	0.3	100.0%
Total Disbursements		2,895.1	20,241.7	1,912.0	8,886.3	39.8	408.9	4,846.9	29,536.9	6,657.7	28,466.4	1,070.5	3.8%
Excess (Deficiency) of Receipts over Disbursements		(173.6)	(4,057.4)	(372.2)	(1,579.6)	1,350.9	6,187.2	805.1	550.2	(540.4)	4,292.8	(3,742.6)	-87.2%
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	(2)	1,027.1	6,104.1	996.8	3,677.4	301.0	990.0	2,324.9	10,771.5	2,425.1	11,810.3	(1,038.8)	-8.8%
Transfers to Other Funds	(2)	(1,298.4)	(4,215.5)	(18.4)	(66.0)	(1,210.4)	(6,529.5)	(2,527.2)	(10,811.0)	(2,421.2)	(11,379.0)	(568.0)	-5.0%
Total Other Financing Sources (Uses)		(271.3)	1,888.6	978.4	3,611.4	(909.4)	(5,539.5)	(202.3)	(39.5)	3.9	431.3	(470.8)	-109.2%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		(444.9)	(2,168.8)	606.2	2,031.8	441.5	647.7	602.8	510.7	(536.5)	4,724.1	(4,213.4)	-89.2%
Beginning Fund Balances (Deficits)		7,210.2	8,934.1	4,973.0	3,547.4	365.9	159.7	12,549.1	12,641.2	15,151.4	9,890.8	2,750.4	27.8%
Ending Fund Balances (Deficits)		$ 6,765.3	$ 6,765.3	$ 5,579.2	$ 5,579.2	$ 807.4	$ 807.4	$ 13,151.9	$ 13,151.9	$ 14,614.9	$ 14,614.9	$ (1,463.0)	-10.0%

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.
(**) Eliminations between Special Revenue - State and Federal Funds are not included.

GOVERNMENTAL FUNDS FOOTNOTES

EXHIBIT A NOTES
July 2016

1. Certain disbursements from Capital Projects funds are financed by operating transfers from other funds, proceeds of State bonds and notes, and reimbursements received from Public Authorities and the Federal Government. The amounts shown below represent disbursements to be reimbursed in future months from the sources indicated:

Urban Development Corporation (Correctional Facilities)	$66.4	million
Urban Development Corporation (Youth Facilities)	9.5	
Housing Finance Agency (HFA)	191.6	
Housing Assistance Fund	13.6	
Dormitory Authority (Mental Hygiene)	448.0	
Dormitory Authority and State University Income Fund	282.1	
Federal Capital Projects	472.5	
State bond and note proceeds	29.1	

2. Operating Transfers constitute legally authorized transfers from a fund receiving revenues to a fund through which disbursements will ultimately be made. The more significant transfers include:

General Fund "Transfers to Other Funds" are as follows:

State Capital Projects Fund	$368.3	million
General Debt Service Fund	407.4	
Banking Services Account	12.2	
Court Facilities Incentive Aid Fund	60.4	
Dedicated Highway & Bridge Trust Fund	16.5	
Dedicated Infrastructure Investment Fund	363.6	
Dedicated Mass Transportation - Railroad Account	2.2	
Dedicated Mass Transportation - Transit Authority Account	12.2	
Dedicated Mass Transportation (Non-MTA)	1.3	
Environmental Protection Fund	38.0	
Mental Hygiene Program Fund	450.0	
Mental Hygiene Patient Income Account	850.0	
MTA Operating Assistance Fund	19.2	
MTA Financial Assistance Fund	128.0	
NYC County Courts Operating Fund	4.4	
SUNY - Hospital IFR	9.8	
SUNY - Income Fund	816.9	

Also included in the General Fund are transfers representing payments for patients residing in State-operated Health, Mental Hygiene and State University facilities to Debt Service funds ($4.8m), the State University Income Fund ($155.2m), the Mental Hygiene Program Account ($488.8m) and Miscellaneous State Special Revenue Accouint ($0.3m).

§72(4)(b) was added to the State Finance Law in 2010 to permit the State's General Debt Service Fund to maintain a cash reserve for the payment of debt service, and related expenses, during the current fiscal quarter. As of July 31, 2016 - pursuant to a certification of the Budget Director - the reserve amount is ($152.6m), which was funded by a transfer from the General Fund.

Special Revenue Funds "Transfers To Other Funds" includes transfers to Debt Service funds of ($474.6m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities and transfers to the Capital Projects funds ($54.9m).

Also included in Special Revenue funds are transfers to the General Fund from the following:

Energy Research Account	$3.9	million
Federal Dept of Health & Human Services Fund	41.4	
Unemployment Insurance Administration Fund	9.5	
SUNY Income Fund	4.4	

Debt Service Funds "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	$3,775.8	million
Local Government Assistance Tax Fund	1,064.9	
Sales Tax Revenue Bond Tax Fund	855.7	
Clean Water/Clean Air Fund	334.9	

Also included in Debt Service funds are transfers to Special Revenue funds representing receipts in excess of lease-purchase obligations that are used to finance a portion of the operating expenses for Departments of Health ($46.9m) and Mental Hygiene ($451.4m).

Capital Projects Funds "Transfers To Other Funds" includes transfers to the General Fund ($10.2m), and the General Debt Service Fund ($101.5m).

3. The State receives moneys that represent refunds, pharmacy rebates, reimbursements, or disallowances of medical assistance payments previously made from appropriated State and Federal funds. These monies are initially credited to an agency escrow account and shortly after receipt are allocated and refunded to State or Federal fund appropriations from which the medical assistance payments were originally made.

At month end, the following balances remained in agency escrow accounts. For accounting purposes, adjustments have been made to reduce medical assistance spending and count these monies as financial resources of the General Fund and the Special Revenue Federal Fund.

	Allocation of Month-End Balances	
	General Fund	**Special Revenue - Federal**
Medicaid Recoveries - Health Facilities	$ -	$ 317,650
Medicaid Recoveries -Audit	-	286,573
Medicaid Recoveries - Third Parties	-	3,357,125
Pharmacy Rebates	-	1,769,600
Medicare Catastrophic Recovery	-	-
Medicaid "Windfall" Recovery	-	-
Total	**$ -**	**$ 5,730,948**

4. A portion of Personal Income Tax receipts is transferred to the State Special Revenue School Tax Relief (STAR) Fund to be used to reimburse school districts for the STAR property tax exemptions for homeowners and payments to homeowners for the STAR Property Rebate Program. School Tax Relief payments were ($421.4m) as of July 31, 2016.

STATE OF NEW YORK
PROPRIETARY FUNDS
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(Amounts in millions)

EXHIBIT B

	ENTERPRISE		INTERNAL SERVICE		TOTAL PROPRIETARY FUNDS				YEAR OVER YEAR	
	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2015	4 MOS. ENDED JULY 31, 2015	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:										
Miscellaneous Receipts	$ 4.5	$ 19.0	$ 32.9	$ 123.6	$ 37.4	$ 142.6	$ 51.1	$ 171.1	$ (28.5)	-16.7%
Federal Receipts	1.3	5.5	-	-	1.3	5.5	2.1	8.8	(3.3)	-37.5%
Unemployment Taxes	167.8	643.5	-	-	167.8	643.5	197.4	750.2	(106.7)	-14.2%
Total Receipts	**173.6**	**668.0**	**32.9**	**123.6**	**206.5**	**791.6**	**250.6**	**930.1**	**(138.5)**	**-14.9%**
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	0.2	1.1	6.9	31.9	7.1	33.0	9.6	32.2	0.8	2.5%
Non-Personal Service	6.6	17.2	20.9	177.6	27.5	194.8	37.9	159.3	35.5	22.3%
General State Charges	-	0.3	-	12.3	-	12.6	0.1	9.9	2.7	27.3%
Unemployment Benefits	169.0	693.1	-	-	169.0	693.1	180.7	732.6	(39.5)	-5.4%
Total Disbursements	**175.8**	**711.7**	**27.8**	**221.8**	**203.6**	**933.5**	**228.3**	**934.0**	**(0.5)**	**-0.1%**
Excess (Deficiency) of Receipts Over Disbursements	**(2.2)**	**(43.7)**	**5.1**	**(98.2)**	**2.9**	**(141.9)**	**22.3**	**(3.9)**	**(138.0)**	**-3,538.5%**
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	-	-	0.8	12.2	0.8	12.2	0.7	7.5	4.7	62.7%
Transfers to Other Funds	-	-	-	(0.2)	-	(0.2)	-	(0.1)	0.1	100.0%
Total Other Financing Sources (Uses)	**-**	**-**	**0.8**	**12.0**	**0.8**	**12.0**	**0.7**	**7.4**	**4.6**	**62.2%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(2.2)**	**(43.7)**	**5.9**	**(86.2)**	**3.7**	**(129.9)**	**23.0**	**3.5**	**(133.4)**	**-3,811.4%**
Beginning Fund Balances (Deficits)	**24.6**	**66.1**	**(219.3)**	**(127.2)**	**(194.7)**	**(61.1)**	**(165.6)**	**(146.1)**	**85.0**	**58.2%**
Ending Fund Balances (Deficits)	**$ 22.4**	**$ 22.4**	**$ (213.4)**	**$ (213.4)**	**$ (191.0)**	**$ (191.0)**	**$ (142.6)**	**$ (142.6)**	**$ (48.4)**	**-33.9%**

STATE OF NEW YORK
TRUST FUNDS
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(Amounts in millions)

EXHIBIT C

	PENSION		PRIVATE PURPOSE		TOTAL TRUST FUNDS				YEAR OVER YEAR	
	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2015	4 MOS. ENDED JULY 31, 2015	$ Increase/ (Decrease)	% Increase Decrease
RECEIPTS:										
Miscellaneous Receipts	$ 4.6	$ 23.2	$ -	$ (1.3)	$ 4.6	$ 21.9	$ 7.3	$ 38.7	$ (16.8)	-43.4%
Total Receipts	**4.6**	**23.2**	**-**	**(1.3)**	**4.6**	**21.9**	**7.3**	**38.7**	**(16.8)**	**-43.4%**
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	4.5	20.8	-	0.1	4.5	20.9	7.4	22.0	(1.1)	-5.0%
Non-Personal Service	1.3	3.8	-	-	1.3	3.8	0.8	3.1	0.7	22.6%
General State Charges	-	2.0	-	-	-	2.0	-	6.3	(4.3)	-68.3%
Total Disbursements	**5.8**	**26.6**	**-**	**0.1**	**5.8**	**26.7**	**8.2**	**31.4**	**(4.7)**	**-15.0%**
Excess (Deficiency) of Receipts Over Disbursements	**(1.2)**	**(3.4)**	**-**	**(1.4)**	**(1.2)**	**(4.8)**	**(0.9)**	**7.3**	**(12.1)**	**-165.8%**
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	0.0%
Total Other Financing Sources (Uses)	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**0.0%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(1.2)**	**(3.4)**	**-**	**(1.4)**	**(1.2)**	**(4.8)**	**(0.9)**	**7.3**	**(12.1)**	**-165.8%**
Beginning Fund Balances (Deficits)	**(2.1)**	**0.1**	**10.2**	**11.6**	**8.1**	**11.7**	**2.8**	**(5.4)**	**17.1**	**316.7%**
Ending Fund Balances (Deficits)	**$ (3.3)**	**$ (3.3)**	**$ 10.2**	**$ 10.2**	**$ 6.9**	**$ 6.9**	**$ 1.9**	**$ 1.9**	**$ 5.0**	**263.2%**

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STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR FOUR MONTHS ENDED JULY 31, 2016
(Amounts in millions)

EXHIBIT D

	ALL GOVERNMENTAL FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	$ 16,505.0	$ 15,861.0	$ 15,855.1	$ (649.9)	$ (5.9)
Consumption/Use	5,314.0	5,370.0	5,387.9	73.9	17.9
Business	1,786.0	1,807.0	1,817.9	31.9	10.9
Other	1,087.0	1,115.0	1,113.9	26.9	(1.1)
Miscellaneous Receipts	7,630.0	7,363.0	7,446.4	(183.6)	83.4
Federal Receipts	16,616.0	16,325.0	16,327.8	(288.2)	2.8
Total Receipts	**48,938.0**	**47,841.0**	**47,949.0**	**(989.0)**	**108.0**
DISBURSEMENTS:					
Local Assistance Grants	34,509.0	34,319.0	34,407.5	(101.5)	88.5
Departmental Operations	6,457.0	6,510.0	6,499.8	42.8	(10.2)
General State Charges	3,891.0	4,037.0	4,034.7	143.7	(2.3)
Debt Service	392.0	391.0	391.4	(0.6)	0.4
Capital Projects	2,277.0	1,917.0	1,914.3	(362.7)	(2.7)
Total Disbursements	**47,526.0**	**47,174.0**	**47,247.7**	**(278.3)**	**73.7**
Excess (Deficiency) of Receipts over Disbursements	**1,412.0**	**667.0**	**701.3**	**(710.7)**	**34.3**
OTHER FINANCING SOURCES (USES):					
Bond and Note Proceeds, net	2.0	-	-	(2.0)	-
Transfers from Other Funds	11,685.0	11,550.0	11,444.0	(241.0)	(106.0)
Transfers to Other Funds	(11,709.0)	(11,563.0)	(11,456.1)	(252.9)	(106.9)
Total Other Financing Sources (Uses)	**(22.0)**	**(13.0)**	**(12.1)**	**9.9**	**0.9**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**1,390.0**	**654.0**	**689.2**	**(700.8)**	**35.2**
Fund Balances (Deficits) at April 1	**11,810.0**	**11,810.0**	**11,810.1**	**0.1**	**0.1**
Fund Balances (Deficits) at July 31, 2016	**$ 13,200.0**	**$ 12,464.0**	**$ 12,499.3**	**$ (700.7)**	**$ 35.3**

(*) Source: 2016-17 Enacted Financial Plan dated May 13, 2016.
(**) Source: 2016-17 First Quarter Update dated August 9, 2016.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR FOUR MONTHS ENDED JULY 31, 2016
(Amounts in millions)

EXHIBIT D
(continued)

	STATE OPERATING FUNDS (***)				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	$ 16,505.0	$ 15,861.0	$ 15,855.1	$ (649.9)	$ (5.9)
Consumption/Use	5,115.0	5,167.0	5,188.8	73.8	21.8
Business	1,583.0	1,597.0	1,605.2	22.2	8.2
Other	1,063.0	1,091.0	1,090.1	27.1	(0.9)
Miscellaneous Receipts	6,213.0	6,231.0	6,331.8	118.8	100.8
Federal Receipts	-	14.0	16.1	16.1	2.1
Total Receipts	**30,479.0**	**29,961.0**	**30,087.1**	**(391.9)**	**126.1**
DISBURSEMENTS:					
Local Assistance Grants	18,589.0	19,223.0	19,212.3	623.3	(10.7)
Departmental Operations	5,915.0	5,957.0	5,957.9	42.9	0.9
General State Charges	3,813.0	3,975.0	3,974.7	161.7	(0.3)
Debt Service	392.0	391.0	391.4	(0.6)	0.4
Capital Projects	-	-	0.6	0.6	0.6
Total Disbursements	**28,709.0**	**29,546.0**	**29,536.9**	**827.9**	**(9.1)**
Excess (Deficiency) of Receipts over Disbursements	**1,770.0**	**415.0**	**550.2**	**(1,219.8)**	**135.2**
OTHER FINANCING SOURCES (USES):					
Transfers from Other Funds	10,601.0	10,703.0	10,771.5 (****)	170.5	68.5
Transfers to Other Funds	(10,956.0)	(10,685.0)	(10,811.0) (****)	(145.0)	126.0
Total Other Financing Sources (Uses)	**(355.0)**	**18.0**	**(39.5)**	**315.5**	**(57.5)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**1,415.0**	**433.0**	**510.7**	**(904.3)**	**77.7**
Fund Balances (Deficits) at April 1	**12,641.0**	**12,641.0**	**12,641.2**	**0.2**	**0.2**
Fund Balances (Deficits) at July 31, 2016	**$ 14,056.0**	**$ 13,074.0**	**$ 13,151.9**	**$ (904.1)**	**$ 77.9**

(*) Source: 2016-17 Enacted Financial Plan dated May 13, 2016.
(**) Source: 2016-17 First Quarter Update dated August 9, 2016.
(***) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.
(****) Eliminations between Special Revenue - State and Federal Funds are not included.

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STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR FOUR MONTHS ENDED JULY 31, 2016
(Amounts in millions)

EXHIBIT D
(continued)

	GENERAL FUND				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	$ 11,957.0	$ 11,475.0	$ 11,469.8	$ (487.2)	$ (5.2)
Consumption/Use	2,310.0	2,339.0	2,348.8	38.8	9.8
Business	1,185.0	1,179.0	1,184.3	(0.7)	5.3
Other	339.0	341.0	336.2	(2.8)	(4.8)
Miscellaneous Receipts	842.0	842.0	844.9	2.9	2.9
Federal Receipts	-	-	0.3	0.3	0.3
Transfers From:					
PIT in excess of Revenue Bond Debt Service	3,935.0	3,779.0	3,775.8	(159.2)	(3.2)
Sales Tax in excess of LGAC / STRBF Debt Service	1,880.0	1,910.0	1,920.6	40.6	10.6
Real Estate Taxes in excess of CW/CA Debt Service	300.0	333.0	334.9	34.9	1.9
All Other	42.0	72.0	72.8	30.8	0.8
Total Receipts and Other Financing Sources	**22,790.0**	**22,270.0**	**22,288.4**	**(501.6)**	**18.4**
DISBURSEMENTS:					
Local Assistance Grants	13,665.0	14,244.0	14,233.9	568.9	(10.1)
Departmental Operations	2,536.0	2,580.0	2,580.2	44.2	0.2
General State Charges	3,289.0	3,427.0	3,427.6	138.6	0.6
Transfers To:					
Debt Service	395.0	407.0	407.4	12.4	0.4
Capital Projects	1,056.0	792.0	792.0	(264.0)	-
State Share Medicaid	443.0	489.0	649.1 (***)	206.1	160.1
SUNY Operations	818.0	817.0	816.9	(1.1)	(0.1)
Other Purposes	1,686.0	1,706.0	1,550.1	(135.9)	(155.9)
Total Disbursements and Other Financing Uses	**23,888.0**	**24,462.0**	**24,457.2**	**569.2**	**(4.8)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(1,098.0)**	**(2,192.0)**	**(2,168.8)**	**(1,070.8)**	**23.2**
Fund Balances (Deficits) at April 1	**8,934.0**	**8,934.0**	**8,934.1**	**0.1**	**0.1**
Fund Balances (Deficits) at July 31, 2016	**$ 7,836.0**	**$ 6,742.0**	**$ 6,765.3**	**$ (1,070.7)**	**$ 23.3**

(*) Source: 2016-17 Enacted Financial Plan dated May 13, 2016.
(**) Source: 2016-17 First Quarter Update dated August 9, 2016.
(***) Includes transfers to the Department of Health Income Fund, the State University Income Fund and the Mental Hygiene Program Account representing payments for patients residing in State-Operated Health, Mental Hygiene and State University facilities.

STATE OF NEW YORK **EXHIBIT D**
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL **(continued)**
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR FOUR MONTHS ENDED JULY 31, 2016
(Amounts in millions)

	SPECIAL REVENUE FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:							
Taxes:							
Personal Income	$ 421.0	$ 421.0	$ 421.5	$ -	$ 421.5	$ 0.5	$ 0.5
Consumption/Use	708.0	702.0	704.1	-	704.1	(3.9)	2.1
Business	398.0	418.0	420.9	-	420.9	22.9	2.9
Other	401.0	395.0	396.4	-	396.4	(4.6)	1.4
Miscellaneous Receipts	5,283.0	5,429.0	5,429.1	-	5,429.1	146.1	0.1
Federal Receipts	15,995.0	15,662.0	15,662.6	-	15,662.6	(332.4)	0.6
Transfers from Other Funds(***)	3,528.0	3,548.0	3,677.4	(174.4)	3,503.0	(25.0)	(45.0)
Total Receipts and Other Financing Sources	**26,734.0**	**26,575.0**	**26,712.0**	**(174.4)**	**26,537.6**	**(196.4)**	**(37.4)**
DISBURSEMENTS:							
Local Assistance Grants	19,855.0	19,390.0	19,486.7	-	19,486.7	(368.3)	96.7
Departmental Operations	3,916.0	3,912.0	3,902.1	-	3,902.1	(13.9)	(9.9)
General State Charges	602.0	610.0	607.1	-	607.1	5.1	(2.9)
Capital Projects	-	-	0.6	-	0.6	0.6	0.6
Transfers to Other Funds(***)	681.0	826.0	767.7	(174.4)	593.3	(87.7)	(232.7)
Total Disbursements and Other Financing Uses	**25,054.0**	**24,738.0**	**24,764.2**	**(174.4)**	**24,589.8**	**(464.2)**	**(148.2)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**1,680.0**	**1,837.0**	**1,947.8**	**-**	**1,947.8**	**267.8**	**110.8**
Fund Balances (Deficits) at April 1	**3,607.0**	**3,607.0**	**3,607.1**	**-**	**3,607.1**	**0.1**	**0.1**
Fund Balances (Deficits) at July 31, 2016	**$ 5,287.0**	**$ 5,444.0**	**$ 5,554.9**	**$ -**	**$ 5,554.9**	**$ 267.9**	**$ 110.9**

(*) Source: 2016-17 Enacted Financial Plan dated May 13, 2016.
(**) Source: 2016-17 First Quarter Update dated August 9, 2016.
(***) Actual reported transfer amounts include eliminations between Special Revenue - State and Federal Funds. The Financial Plan reported transfer amounts do not include eliminations.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR FOUR MONTHS ENDED JULY 31, 2016
(Amounts in millions)

EXHIBIT D
(continued)

	STATE SPECIAL REVENUE FUNDS					FEDERAL SPECIAL REVENUE FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:										
Taxes:										
Personal Income	$ 421.0	$ 421.0	$ 421.5	$ 0.5	$ 0.5	$ -	$ -	$ -	$ -	$ -
Consumption/Use	708.0	702.0	704.1	(3.9)	2.1	-	-	-	-	-
Business	398.0	418.0	420.9	22.9	2.9	-	-	-	-	-
Other	401.0	395.0	396.4	(4.6)	1.4	-	-	-	-	-
Miscellaneous Receipts	5,215.0	5,355.0	5,349.6	134.6	(5.4)	68.0	74.0	79.5	11.5	5.5
Federal Receipts	-	14.0	14.2	14.2	0.2	15,995.0	15,648.0	15,648.4	(346.6)	0.4
Transfers from Other Funds	3,528.0	3,548.0	3,677.4	149.4	129.4	-	-	-	-	-
Total Receipts and Other Financing Sources	**10,671.0**	**10,853.0**	**10,984.1**	**313.1**	**131.1**	**16,063.0**	**15,722.0**	**15,727.9**	**(335.1)**	**5.9**
DISBURSEMENTS:										
Local Assistance Grants	4,924.0	4,979.0	4,978.4	54.4	(0.6)	14,931.0	14,411.0	14,508.3	(422.7)	97.3
Departmental Operations	3,374.0	3,359.0	3,360.2	(13.8)	1.2	542.0	553.0	541.9	(0.1)	(11.1)
General State Charges	524.0	548.0	547.1	23.1	(0.9)	78.0	62.0	60.0	(18.0)	(2.0)
Capital Projects	-	-	0.6	0.6	0.6	-	-	-	-	-
Transfers to Other Funds	36.0	65.0	66.0	30.0	1.0	645.0	761.0	701.7	56.7	(59.3)
Total Disbursements and Other Financing Uses	**8,858.0**	**8,951.0**	**8,952.3**	**94.3**	**1.3**	**16,196.0**	**15,787.0**	**15,811.9**	**(384.1)**	**24.9**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**1,813.0**	**1,902.0**	**2,031.8**	**218.8**	**129.8**	**(133.0)**	**(65.0)**	**(84.0)**	**49.0**	**(19.0)**
Fund Balances (Deficits) at April 1	**3,547.0**	**3,547.0**	**3,547.4**	**0.4**	**0.4**	**60.0**	**60.0**	**59.7**	**(0.3)**	**(0.3)**
Fund Balances (Deficits) at July 31, 2016	**$ 5,360.0**	**$ 5,449.0**	**$ 5,579.2**	**$ 219.2**	**$ 130.2**	**$ (73.0)**	**$ (5.0)**	**$ (24.3)**	**$ 48.7**	**$ (19.3)**

(*) Source: 2016-17 Enacted Financial Plan dated May 13, 2016.
(**) Source: 2016-17 First Quarter Update dated August 9, 2016.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR FOUR MONTHS ENDED JULY 31, 2016
(Amounts in millions)

EXHIBIT D
(continued)

	DEBT SERVICE FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	$ 4,127.0	$ 3,965.0	$ 3,963.8	$ (163.2)	$ (1.2)
Consumption/Use	2,097.0	2,126.0	2,135.9	38.9	9.9
Other	323.0	355.0	357.5	34.5	2.5
Miscellaneous Receipts	156.0	34.0	137.3	(18.7)	103.3
Federal Receipts	-	-	1.6	1.6	1.6
Transfers from Other Funds	916.0	1,061.0	990.0	74.0	(71.0)
Total Receipts and Other Financing Sources	**7,619.0**	**7,541.0**	**7,586.1**	**(32.9)**	**45.1**
DISBURSEMENTS:					
Departmental Operations	5.0	18.0	17.5	12.5	(0.5)
Debt Service	392.0	391.0	391.4	(0.6)	0.4
Transfers to Other Funds	6,522.0	6,409.0	6,529.5	7.5	120.5
Total Disbursements and Other Financing Uses	**6,919.0**	**6,818.0**	**6,938.4**	**19.4**	**120.4**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**700.0**	**723.0**	**647.7**	**(52.3)**	**(75.3)**
Fund Balances (Deficits) at April 1	**160.0**	**160.0**	**159.7**	**(0.3)**	**(0.3)**
Fund Balances (Deficits) at July 31, 2016	**$ 860.0**	**$ 883.0**	**$ 807.4**	**$ (52.6)**	**$ (75.6)**

(*) Source: 2016-17 Enacted Financial Plan dated May 13, 2016.
(**) Source: 2016-17 First Quarter Update dated August 9, 2016.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR FOUR MONTHS ENDED JULY 31, 2016
(Amounts in millions)

EXHIBIT D
(continued)

	CAPITAL PROJECTS FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:							
Taxes:							
Consumption/Use	$ 199.0	$ 203.0	$ 199.1	$ -	$ 199.1	$ 0.1	$ (3.9)
Business	203.0	210.0	212.7	-	212.7	9.7	2.7
Other	24.0	24.0	23.8	-	23.8	(0.2)	(0.2)
Miscellaneous Receipts	1,349.0	1,058.0	1,035.1	-	1,035.1	(313.9)	(22.9)
Federal Receipts	621.0	663.0	663.3	-	663.3	42.3	0.3
Bond and Note Proceeds, net	2.0	-	-	-	-	(2.0)	-
Transfers from Other Funds	1,084.0	847.0	846.9	-	846.9	(237.1)	(0.1)
Total Receipts and Other Financing Sources	**3,482.0**	**3,005.0**	**2,980.9**	**-**	**2,980.9**	**(501.1)**	**(24.1)**
DISBURSEMENTS:							
Local Assistance Grants	989.0	685.0	686.9	-	686.9	(302.1)	1.9
Capital Projects	2,277.0	1,917.0	1,913.7	-	1,913.7	(363.3)	(3.3)
Transfers to Other Funds	108.0	117.0	117.8	-	117.8	9.8	0.8
Total Disbursements and Other Financing Uses	**3,374.0**	**2,719.0**	**2,718.4**	**-**	**2,718.4**	**(655.6)**	**(0.6)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**108.0**	**286.0**	**262.5**	**-**	**262.5**	**154.5**	**(23.5)**
Fund Balances (Deficits) at April 1	**(891.0)**	**(891.0)**	**(890.8)**	**-**	**(890.8)**	**0.2**	**0.2**
Fund Balances (Deficits) at July 31, 2016	**$ (783.0)**	**$ (605.0)**	**$ (628.3)**	**$ -**	**$ (628.3)**	**$ 154.7**	**$ (23.3)**

(*) Source: 2016-17 Enacted Budget dated May 13, 2016.
(**) Source: 2016-17 First Quarter Update dated August 9, 2016.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR FOUR MONTHS ENDED JULY 31, 2016
(Amounts in millions)

EXHIBIT D
(continued)

	STATE CAPITAL PROJECTS FUNDS					FEDERAL CAPITAL PROJECTS FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:										
Taxes:										
Consumption/Use	$ 199.0	$ 203.0	$ 199.1	$ 0.1	$ (3.9)	$ -	$ -	$ -	$ -	$ -
Business	203.0	210.0	212.7	9.7	2.7	-	-	-	-	-
Other	24.0	24.0	23.8	(0.2)	(0.2)	-	-	-	-	-
Miscellaneous Receipts	1,349.0	1,057.0	1,033.9	(315.1)	(23.1)	-	1.0	1.2	1.2	0.2
Federal Receipts	-	-	-	-	-	621.0	663.0	663.3	42.3	0.3
Bond and Note Proceeds, net	2.0	-	-	(2.0)	-	-	-	-	-	-
Transfers from Other Funds	1,085.0	847.0	846.9	(238.1)	(0.1)	(1.0)	-	-	1.0	-
Total Receipts and Other Financing Sources	**2,862.0**	**2,341.0**	**2,316.4**	**(545.6)**	**(24.6)**	**620.0**	**664.0**	**664.5**	**44.5**	**0.5**
DISBURSEMENTS:										
Local Assistance Grants	810.0	534.0	535.3	(274.7)	1.3	179.0	151.0	151.6	(27.4)	0.6
Capital Projects	1,920.0	1,496.0	1,493.7	(426.3)	(2.3)	357.0	421.0	420.0	63.0	(1.0)
Transfers to Other Funds	102.0	111.0	111.7	9.7	0.7	6.0	6.0	6.1	0.1	0.1
Total Disbursements and Other Financing Uses	**2,832.0**	**2,141.0**	**2,140.7**	**(691.3)**	**(0.3)**	**542.0**	**578.0**	**577.7**	**35.7**	**(0.3)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**30.0**	**200.0**	**175.7**	**145.7**	**(24.3)**	**78.0**	**86.0**	**86.8**	**8.8**	**0.8**
Fund Balances (Deficits) at April 1	**(333.0)**	**(333.0)**	**(331.5)**	**1.5**	**1.5**	**(558.0)**	**(558.0)**	**(559.3)**	**(1.3)**	**(1.3)**
Fund Balances (Deficits) at July 31, 2016	**$ (303.0)**	**$ (133.0)**	**$ (155.8)**	**$ 147.2**	**$ (22.8)**	**$ (480.0)**	**$ (472.0)**	**$ (472.5)**	**$ 7.5**	**$ (0.5)**

(*) Source: 2016-17 Enacted Budget dated May 13, 2016.
(**) Source: 2016-17 First Quarter Update dated August 9, 2016.

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STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMPARATIVE SCHEDULE OF TAX RECEIPTS
(Amounts in millions)

EXHIBIT E

	GENERAL		SPECIAL REVENUE		DEBT SERVICE		CAPITAL PROJECTS		TOTAL GOVERNMENTAL FUNDS				YEAR OVER YEAR	
	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2016	4 MOS. ENDED JULY 31, 2016	MONTH OF JULY 2015	4 MOS. ENDED JULY 31, 2015	$ Increase/ (Decrease)	% Increase/ Decrease
PERSONAL INCOME TAX														
Withholding	$ 2,545.1	$ 10,649.5	$ -	$ -	$ -	$ -	$ -	$ -	$ 2,545.1	$ 10,649.5	$ 2,676.2	$ 10,712.8	$ (63.3)	-0.6%
Estimated Payments	95.0	6,966.5	-	-	-	-	-	-	95.0	6,966.5	102.9	7,802.1	(835.6)	-10.7%
Returns	30.2	1,849.6	-	-	-	-	-	-	30.2	1,849.6	40.1	1,852.9	(3.3)	-0.2%
State/City Offsets	(15.9)	(235.7)	-	-	-	-	-	-	(15.9)	(235.7)	(12.4)	(204.4)	31.3	15.3%
Other (Assessments/LLC)	79.4	476.9	-	-	-	-	-	-	79.4	476.9	82.7	432.1	44.8	10.4%
Gross Receipts	2,733.8	19,706.8	-	-	-	-	-	-	2,733.8	19,706.8	2,889.5	20,595.5	(888.7)	-4.3%
Transfers to School Tax Relief Fund	-	(421.5)	-	421.5	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	(640.5)	(3,963.8)	-	-	640.5	3,963.8	-	-	-	-	-	-	-	0.0%
Less: Refunds Issued	(172.0)	(3,851.7)	-	-	-	-	-	-	(172.0)	(3,851.7)	(167.6)	(4,029.6)	(177.9)	-4.4%
Total	1,921.3	11,469.8	-	421.5	640.5	3,963.8	-	-	2,561.8	15,855.1	2,721.9	16,565.9	(710.8)	-4.3%
CONSUMPTION/USE TAXES														
Sales and Use	508.9	2,136.9	69.3	315.5	508.3	2,135.9	-	-	1,086.5	4,588.3	1,065.3	4,474.1	114.2	2.6%
Auto Rental	-	-	4.5	18.6	-	-	0.1	19.3	4.6	37.9	0.2	33.3	4.6	13.8%
Cigarette/Tobacco Products	29.2	120.7	74.6	301.9	-	-	-	-	103.8	422.6	119.2	434.5	(11.9)	-2.7%
Medical Marihuana	-	-	-	0.1	-	-	-	-	-	0.1	-	-	0.1	100.0%
Motor Fuel	-	-	10.1	35.4	-	-	36.4	131.7	46.5	167.1	42.8	166.5	0.6	0.4%
Alcoholic Beverage	29.8	91.2	-	-	-	-	-	-	29.8	91.2	29.4	91.3	(0.1)	-0.1%
Highway Use	-	-	-	-	-	-	12.5	48.1	12.5	48.1	12.8	49.5	(1.4)	-2.8%
Metropolitan Commuter Trans. Taxicab Trip	-	-	15.7	32.6	-	-	-	-	15.7	32.6	18.1	38.3	(5.7)	-14.9%
Total	567.9	2,348.8	174.2	704.1	508.3	2,135.9	49.0	199.1	1,299.4	5,387.9	1,287.8	5,287.5	100.4	1.9%
BUSINESS TAXES														
Corporation Franchise	64.2	762.5	10.8	180.2	-	-	-	-	75.0	942.7	115.6	1,164.2	(221.5)	-19.0%
Corporation and Utilities	1.5	105.4	3.7	35.3	-	-	0.1	3.0	5.3	143.7	1.5	141.7	2.0	1.4%
Insurance	2.9	328.0	0.8	42.8	-	-	-	-	3.7	370.8	33.5	324.6	46.2	14.2%
Bank	2.8	(11.6)	-	(5.4)	-	-	-	-	2.8	(17.0)	10.5	33.9	(50.9)	-150.1%
Petroleum Business	-	-	52.5	168.0	-	-	66.2	209.7	118.7	377.7	96.5	369.8	7.9	2.1%
Total	71.4	1,184.3	67.8	420.9	-	-	66.3	212.7	205.5	1,817.9	257.6	2,034.2	(216.3)	-10.6%
OTHER TAXES														
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Estate and Gift	72.7	330.9	-	-	-	-	-	-	72.7	330.9	208.0	622.8	(291.9)	-46.9%
Pari-Mutuel	1.3	5.1	-	-	-	-	-	-	1.3	5.1	1.2	5.5	(0.4)	-7.3%
Real Estate Transfer	-	-	-	-	102.0	357.5	11.9	23.8	113.9	381.3	93.6	370.7	10.6	2.9%
Racing and Exhibitions	0.1	0.2	-	-	-	-	-	-	0.1	0.2	-	0.3	(0.1)	-33.3%
Metropolitan Commuter Trans. Mobility	-	-	85.2	396.4	-	-	-	-	85.2	396.4	95.7	411.4	(15.0)	-3.6%
Total	74.1	336.2	85.2	396.4	102.0	357.5	11.9	23.8	273.2	1,113.9	398.5	1,410.7	(296.8)	-21.0%
Total Tax Receipts	$ 2,634.7	$ 15,339.1	$ 327.2	$ 1,942.9	$ 1,250.8	$ 6,457.2	$ 127.2	$ 435.6	$ 4,339.9	$ 24,174.8	$ 4,665.8	$ 25,298.3	$ (1,123.5)	-4.4%

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 11,810.1	$ 14,231.2	$ 12,089.8	$ 12,220.4									$ 11,810.1	$ 9,355.6	$ 2,454.5	26.2%
RECEIPTS:																
Taxes:																
Personal Income Tax :																
Withholdings	2,649.4	2,595.0	2,860.0	2,545.1									10,649.5	10,712.8	(63.3)	-0.6%
Estimated payments	4,784.0	137.0	1,950.5	95.0									6,966.5	7,802.1	(835.6)	-10.7%
Returns	1,717.3	63.3	38.8	30.2									1,849.6	1,852.9	(3.3)	-0.2%
State/City Offsets	(184.9)	(18.2)	(16.7)	(15.9)									(235.7)	(204.4)	31.3	15.3%
Other (Assessments/LLC)	170.4	104.2	122.9	79.4									476.9	432.1	44.8	10.4%
Gross Receipts	9,136.2	2,881.3	4,955.5	2,733.8	-	-	-	-	-	-	-	-	19,706.8	20,595.5	(888.7)	-4.3%
Transfers to School Tax Relief Fund	-	-	-	-									-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	-	-	-	-									-	-	-	0.0%
Refunds issued	(2,752.5)	(695.6)	(231.6)	(172.0)									(3,851.7)	(4,029.6)	(177.9)	-4.4%
Total Personal Income Tax	6,383.7	2,185.7	4,723.9	2,561.8	-	-	-	-	-	-	-	-	15,855.1	16,565.9	(710.8)	-4.3%
Consumption/Use Taxes:																
Sales and Use	1,087.0	1,014.8	1,400.0	1,086.5									4,588.3	4,474.1	114.2	2.6%
Auto Rental	1.0	-	32.3	4.6									37.9	33.3	4.6	13.8%
Cigarette/Tobacco Products	98.6	99.4	120.8	103.8									422.6	434.5	(11.9)	-2.7%
Medical Marijuana	-	-	0.1	-									0.1	-	0.1	100.0%
Motor Fuel	39.0	37.3	44.3	46.5									167.1	166.5	0.6	0.4%
Alcoholic Beverage	20.4	19.3	21.7	29.8									91.2	91.3	(0.1)	-0.1%
Highway Use	12.6	10.7	12.3	12.5									48.1	49.5	(1.4)	-2.8%
Metropolitan Commuter Trans. Taxicab Trip	15.7	0.6	0.6	15.7									32.6	38.3	(5.7)	-14.9%
Total Consumption/Use Taxes	1,274.3	1,182.1	1,632.1	1,299.4	-	-	-	-	-	-	-	-	5,387.9	5,287.5	100.4	1.9%
Business Taxes:																
Corporation Franchise	155.7	83.5	628.5	75.0									942.7	1,164.2	(221.5)	-19.0%
Corporation and Utilities	11.2	1.2	126.0	5.3									143.7	141.7	2.0	1.4%
Insurance	19.7	20.2	327.2	3.7									370.8	324.6	46.2	14.2%
Bank	6.2	(0.9)	(25.1)	2.8									(17.0)	33.9	(50.9)	-150.1%
Petroleum Business	87.5	77.9	93.6	118.7									377.7	369.8	7.9	2.1%
Total Business Taxes	280.3	181.9	1,150.2	205.5	-	-	-	-	-	-	-	-	1,817.9	2,034.2	(216.3)	-10.6%
Other Taxes:																
Real Property Gains	-	-	-	-									-	-	-	0.0%
Estate and Gift	74.9	106.1	77.2	72.7									330.9	622.8	(291.9)	-46.9%
Pari-Mutuel	0.7	1.4	1.7	1.3									5.1	5.5	(0.4)	-7.3%
Real Estate Transfer	90.4	74.0	103.0	113.9									381.3	370.7	10.6	2.9%
Racing and Exhibitions	-	0.1	-	0.1									0.2	0.3	(0.1)	-33.3%
Metropolitan Commuter Trans. Mobility	116.6	94.0	100.6	85.2									396.4	411.4	(15.0)	-3.6%
Total Other Taxes	282.6	275.6	282.5	273.2	-	-	-	-	-	-	-	-	1,113.9	1,410.7	(296.8)	-21.0%
Total Taxes	8,220.9	3,825.3	7,788.7	4,339.9	-	-	-	-	-	-	-	-	24,174.8	25,298.3	(1,123.5)	-4.4%
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	0.9	(0.1)	1.8	0.9									3.5	3.4	0.1	2.9%
Bottle Bill	(0.3)	0.1	31.1	0.1									31.0	30.3	0.7	2.3%
Assessments:																
Business	41.8	318.2	123.7	19.8									503.5	534.8	(31.3)	-5.9%
Medical Care	423.0	482.1	490.3	468.7									1,864.1	1,771.9	92.2	5.2%
Public Utilities	5.7	0.2	(0.1)	-									5.8	0.9	4.9	544.4%
Other	20.5	18.9	19.3	19.8									78.5	74.6	3.9	5.2%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	5.6	5.1	4.4	4.5									19.6	25.0	(5.4)	-21.6%
Audit Fees	-	0.9	1.0	0.1									2.0	-	2.0	100.0%
Business/Professional	51.2	51.5	106.7	47.5									256.9	331.8	(74.9)	-22.6%
Civil	24.6	18.1	25.0	31.0									98.7	99.4	(0.7)	-0.7%
Criminal	-	2.1	0.3	0.4									2.8	3.3	(0.5)	-15.2%
Motor Vehicle	122.9	123.3	130.6	106.1									482.9	500.8	(17.9)	-3.6%
Recreational/Consumer	40.4	41.0	48.8	39.8									170.0	105.8	64.2	60.7%
Fines, Penalties and Forfeitures	9.2	75.6	33.5	26.8									145.1	1,554.8	(1,409.7)	-90.7%
Gaming:																
Casino	15.3	-	34.4	15.6									65.3	92.4	(27.1)	-29.3%
Lottery	188.8	202.5	244.8	200.9									837.0	826.3	10.7	1.3%
Video Lottery	78.4	77.4	90.8	76.6									323.2	330.9	(7.7)	-2.3%
Interest Earnings	5.4	7.4	6.3	6.1									25.2	12.9	12.3	95.3%
Receipts from Public Authorities:																
Bond Proceeds	-	112.9	556.0	4.2									673.1	965.9	(292.8)	-30.3%
Cost Recovery Assessments	-	-	22.6	-									22.6	11.0	11.6	105.5%
Issuance Fees	15.6	6.1	3.2	8.4									33.3	34.2	(0.9)	-2.6%
Non Bond Related	1.0	0.9	0.6	(0.4)									2.1	4.3	(2.2)	-51.2%
Receipts from Municipalities	58.4	24.9	54.3	21.8									159.4	62.5	96.9	155.0%
Rentals	56.1	31.7	21.8	3.7									113.3	89.4	23.9	26.7%
Revenues of State Departments:																

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Administrative Recoveries	0.4	29.1	34.6	20.9									85.0	55.8	29.2	52.3%
Commissions	0.2	0.2	0.2	0.1									0.7	0.7	-	0.0%
Gifts, Grants and Donations	3.4	2.6	3.2	1.6									10.8	3.3	7.5	227.3%
Indirect Cost Recoveries	0.4	25.7	6.8	(0.4)									32.5	30.4	2.1	6.9%
Patient/Client Care Reimbursement	156.5	215.6	53.7	258.7									684.5	60.3	624.2	1,035.2%
Rebates	9.2	12.7	11.4	22.4									55.7	57.1	(1.4)	-2.5%
Restitution and Settlements	7.2	132.7	63.3	35.5									238.7	1,144.2	(905.5)	-79.1%
Student Loans	8.2	6.9	6.2	7.4									28.7	24.3	4.4	18.1%
All Other	49.0	28.4	54.4	43.3									175.1	41.4	133.7	322.9%
Sales	1.8	1.4	1.6	1.4									6.2	8.7	(2.5)	-28.7%
Tuition	54.7	45.5	60.7	48.7									209.6	386.7	(177.1)	-45.8%
Total Miscellaneous Receipts	**1,455.5**	**2,101.6**	**2,347.3**	**1,542.0**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**7,446.4**	**9,279.5**	**(1,833.1)**	**-19.8%**
Federal Receipts	3,275.7	4,197.5	5,208.4	3,646.2									16,327.8	14,884.2	1,443.6	9.7%
Total Receipts	**12,952.1**	**10,124.4**	**15,344.4**	**9,528.1**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**47,949.0**	**49,462.0**	**(1,513.0)**	**-3.1%**
DISBURSEMENTS:																
Local Assistance Grants:																
Education	1,097.9	3,326.5	4,064.1	593.6									9,082.1	8,876.6	205.5	2.3%
Environment and Recreation	3.4	4.3	8.5	12.7									28.9	27.8	1.1	4.0%
General Government	71.5	45.3	610.1	46.7									773.6	684.4	89.2	13.0%
Public Health:																
Medicaid	3,569.1	4,384.6	4,795.6	4,267.7									17,017.0	16,014.1	1,002.9	6.3%
Other Public Health	597.4	674.5	841.3	724.0									2,837.2	1,975.3	861.9	43.6%
Public Safety	90.9	158.0	107.6	138.8									495.3	516.9	(21.6)	-4.2%
Public Welfare	370.1	429.1	748.3	596.5									2,144.0	2,251.4	(107.4)	-4.8%
Support and Regulate Business	5.0	15.9	192.8	64.9									278.6	262.1	16.5	6.3%
Transportation	226.0	525.0	612.0	387.8									1,750.8	1,563.6	187.2	12.0%
Total Local Assistance Grants	6,031.3	9,563.2	11,980.3	6,832.7	-	-	-	-	-	-	-	-	34,407.5	32,172.2	2,235.3	6.9%
Departmental Operations:																
Personal Service	1,074.8	1,060.3	1,386.2	1,045.0									4,566.3	4,664.9	(98.6)	-2.1%
Non-Personal Service	363.5	523.2	602.6	444.2									1,933.5	1,895.6	37.9	2.0%
General State Charges	2,629.2	466.2	509.1	430.2									4,034.7	3,828.6	206.1	5.4%
Debt Service, Including Payments on Financing Agreements	113.3	162.9	89.9	25.3									391.4	668.8	(277.4)	-41.5%
Capital Projects	313.6	486.0	643.8	470.9									1,914.3	1,735.0	179.3	10.3%
Total Disbursements	**10,525.7**	**12,261.8**	**15,211.9**	**9,248.3**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**47,247.7**	**44,965.1**	**2,282.6**	**5.1%**
Excess (Deficiency) of Receipts over Disbursements	**2,426.4**	**(2,137.4)**	**132.5**	**279.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**701.3**	**4,496.9**	**(3,795.6)**	**-84.4%**
OTHER FINANCING SOURCES (USES):																
Bond Proceeds (net)	-	-	-	-									-	-	-	0.0%
Transfers from Other Funds	3,182.1	2,615.0	2,979.9	2,667.0									11,444.0	12,036.5	(592.5)	-4.9%
Transfers to Other Funds	(3,187.4)	(2,619.0)	(2,981.8)	(2,667.9)									(11,456.1)	(12,108.4)	(652.3)	-5.4%
Total Other Financing Sources (Uses)	**(5.3)**	**(4.0)**	**(1.9)**	**(0.9)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(12.1)**	**(71.9)**	**59.8**	**83.2%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**2,421.1**	**(2,141.4)**	**130.6**	**278.9**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**689.2**	**4,425.0**	**(3,735.8)**	**-84.4%**
Ending Fund Balance	**$ 14,231.2**	**$ 12,089.8**	**$ 12,220.4**	**$ 12,499.3**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 12,499.3**	**$ 13,780.6**	**$ (1,281.3)**	**-9.3%**

(*) Governmental Funds includes General, Special Revenue, Debt Service and Capital Projects Funds combined.

STATE OF NEW YORK
GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2016-2017
(Amounts in millions)

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 12,641.2	$ 15,345.1	$ 13,150.5	$ 12,549.1									$ 12,641.2	$ 9,890.8	$ 2,750.4	27.8%
RECEIPTS:																
Taxes:																
Personal Income Tax:																
Withholdings	2,649.4	2,595.0	2,860.0	2,545.1									10,649.5	10,712.8	(63.3)	-0.6%
Estimated payments	4,784.0	137.0	1,950.5	95.0									6,966.5	7,802.1	(835.6)	-10.7%
Returns	1,717.3	63.3	38.8	30.2									1,849.6	1,852.9	(3.3)	-0.2%
State/City Offsets	(184.9)	(18.2)	(16.7)	(15.9)									(235.7)	(204.4)	31.3	15.3%
Other (Assessments/LLC)	170.4	104.2	122.9	79.4									476.9	432.1	44.8	10.4%
Gross Receipts	9,136.2	2,881.3	4,955.5	2,733.8	-	-	-	-	-	-	-	-	19,706.8	20,595.5	(888.7)	-4.3%
Transfers to School Tax Relief Fund	-	-	-	-									-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	-	-	-	-									-	-	-	0.0%
Refunds issued	(2,752.5)	(695.6)	(231.6)	(172.0)									(3,851.7)	(4,029.6)	(177.9)	-4.4%
Total Personal Income Tax	6,383.7	2,185.7	4,723.9	2,561.8	-	-	-	-	-	-	-	-	15,855.1	16,565.9	(710.8)	-4.3%
Consumption/Use Taxes:																
Sales and Use	1,087.0	1,014.8	1,400.0	1,086.5									4,588.3	4,474.1	114.2	2.6%
Auto Rental	0.7	-	13.4	4.5									18.6	12.4	6.2	50.0%
Cigarette/Tobacco Products	98.6	99.4	120.8	103.8									422.6	434.5	(11.9)	-2.7%
Medical Marijuana	-	-	0.1	-									0.1	-	0.1	100.0%
Motor Fuel	8.2	7.9	9.2	10.1									35.4	34.8	0.6	1.7%
Alcoholic Beverage	20.4	19.3	21.7	29.8									91.2	91.3	(0.1)	-0.1%
Highway Use	-	-	-	-									-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Trip	15.7	0.6	0.6	15.7									32.6	38.3	(5.7)	-14.9%
Total Consumption/Use Taxes	1,230.6	1,142.0	1,565.8	1,250.4	-	-	-	-	-	-	-	-	5,188.8	5,085.4	103.4	2.0%
Business Taxes:																
Corporation Franchise	155.7	83.5	628.5	75.0									942.7	1,164.2	(221.5)	-19.0%
Corporation and Utilities	10.4	1.2	123.9	5.2									140.7	139.0	1.7	1.2%
Insurance	19.7	20.2	327.2	3.7									370.8	324.6	46.2	14.2%
Bank	6.2	(0.9)	(25.1)	2.8									(17.0)	33.9	(50.9)	-150.1%
Petroleum Business	39.3	34.7	41.5	52.5									168.0	164.2	3.8	2.3%
Total Business Taxes	231.3	138.7	1,096.0	139.2	-	-	-	-	-	-	-	-	1,605.2	1,825.9	(220.7)	-12.1%
Other Taxes:																
Real Property Gains	-	-	-	-									-	-	-	0.0%
Estate and Gift	74.9	106.1	77.2	72.7									330.9	622.8	(291.9)	-46.9%
Pari-Mutuel	0.7	1.4	1.7	1.3									5.1	5.5	(0.4)	-7.3%
Real Estate Transfer	90.4	74.0	91.1	102.0									357.5	346.9	10.6	3.1%
Racing and Exhibitions	-	0.1	-	0.1									0.2	0.3	(0.1)	-33.3%
Metropolitan Commuter Trans. Mobility	116.6	94.0	100.6	85.2									396.4	411.4	(15.0)	-3.6%
Total Other Taxes	282.6	275.6	270.6	261.3	-	-	-	-	-	-	-	-	1,090.1	1,386.9	(296.8)	-21.4%
Total Taxes	8,128.2	3,742.0	7,656.3	4,212.7	-	-	-	-	-	-	-	-	23,739.2	24,864.1	(1,124.9)	-4.5%
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	0.9	(0.1)	1.8	0.9									3.5	3.4	0.1	2.9%
Bottle Bill	(0.3)	0.1	8.1	0.1									8.0	7.3	0.7	9.6%
Assessments:																
Business	28.5	276.1	113.3	6.7									424.6	461.4	(36.8)	-8.0%
Medical Care	423.0	482.1	490.3	468.7									1,864.1	1,771.9	92.2	5.2%
Public Utilities	5.7	0.2	(0.1)	-									5.8	0.9	4.9	544.4%
Other	20.5	18.9	19.3	19.8									78.5	74.6	3.9	5.2%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	5.6	5.1	4.4	4.5									19.6	25.0	(5.4)	-21.6%
Audit Fees	-	0.9	1.0	0.1									2.0	-	2.0	100.0%
Business/Professional	48.6	45.2	104.4	45.6									243.8	321.2	(77.4)	-24.1%
Civil	24.6	18.1	25.0	31.0									98.7	99.4	(0.7)	-0.7%
Criminal	-	2.1	0.3	0.4									2.8	3.3	(0.5)	-15.2%
Motor Vehicle	56.8	58.5	68.6	42.6									226.5	248.3	(21.8)	-8.8%
Recreational/Consumer	40.3	40.7	48.7	39.6									169.3	105.2	64.1	60.9%
Fines, Penalties and Forfeitures	6.0	72.6	30.2	20.1									128.9	1,545.0	(1,416.1)	-91.7%
Gaming:																
Casino	15.3	-	34.4	15.6									65.3	92.4	(27.1)	-29.3%
Lottery	188.8	202.5	244.8	200.9									837.0	826.3	10.7	1.3%
Video Lottery	78.4	77.4	90.8	76.6									323.2	330.9	(7.7)	-2.3%
Interest Earnings	5.0	7.1	5.9	5.9									23.9	12.6	11.3	89.7%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-									-	-	-	0.0%
Cost Recovery Assessments	-	-	22.6	-									22.6	11.0	11.6	105.5%

GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2016-2017
(Amounts in millions)

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Issuance Fees	15.6	6.1	3.2	8.4									33.3	34.2	(0.9)	-2.6%
Non Bond Related	0.9	0.9	-	(0.4)									1.4	1.5	(0.1)	-6.7%
Receipts from Municipalities	58.4	24.3	54.0	21.4									158.1	62.3	95.8	153.8%
Rentals	55.4	31.5	21.4	2.5									110.8	87.5	23.3	26.6%
Revenues of State Departments:																
Administrative Recoveries	0.4	29.1	34.5	20.9									84.9	55.6	29.3	52.7%
Commissions	0.2	0.2	0.2	0.1									0.7	0.7	-	0.0%
Gifts, Grants and Donations	0.9	1.0	3.1	0.8									5.8	2.2	3.6	163.6%
Indirect Cost Recoveries	0.4	25.7	6.8	(0.4)									32.5	30.4	2.1	6.9%
Patient/Client Care Reimbursement	156.5	215.6	53.7	258.7									684.5	60.3	624.2	1,035.2%
Rebates	1.3	3.5	3.6	14.0									22.4	23.2	(0.8)	-3.4%
Restitution and Settlements	7.2	132.2	62.8	33.8									236.0	1,142.3	(906.3)	-79.3%
Student Loans	8.2	6.9	6.2	7.4									28.7	24.3	4.4	18.1%
All Other	48.8	27.2	51.8	42.5									170.3	33.6	136.7	406.8%
Sales	0.7	1.4	1.3	1.3									4.7	8.5	(3.8)	-44.7%
Tuition	54.7	45.5	60.7	48.7									209.6	386.7	(177.1)	-45.8%
Total Miscellaneous Receipts	**1,357.3**	**1,858.6**	**1,677.1**	**1,438.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**6,331.8**	**7,893.4**	**(1,561.6)**	**-19.8%**
Federal Receipts	14.8	0.7	0.1	0.5									16.1	1.7	14.4	847.1%
Total Receipts	**9,500.3**	**5,601.3**	**9,333.5**	**5,652.0**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**30,087.1**	**32,759.2**	**(2,672.1)**	**-8.2%**
DISBURSEMENTS:																
Local Assistance Grants:																
Education	829.5	3,043.9	3,766.9	418.1									8,058.4	7,650.0	408.4	5.3%
Environment and Recreation	0.1	0.4	0.6	0.2									1.3	3.5	(2.2)	-62.9%
General Government	11.8	29.9	583.8	29.1									654.6	634.9	19.7	3.1%
Public Health:																
Medicaid	1,325.3	1,757.5	1,790.2	1,712.0									6,585.0	6,210.8	374.2	6.0%
Other Public Health	174.5	278.4	629.0	223.9									1,305.8	1,063.0	242.8	22.8%
Public Safety	19.0	30.4	19.3	24.4									93.1	109.0	(15.9)	-14.6%
Public Welfare	123.3	131.0	421.4	288.7									964.4	922.6	41.8	4.5%
Support and Regulate Business	2.3	7.6	16.0	18.6									44.5	24.7	19.8	80.2%
Transportation	192.1	481.0	524.2	307.9									1,505.2	1,385.0	120.2	8.7%
Total Local Assistance Grants	**2,677.9**	**5,760.1**	**7,751.4**	**3,022.9**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**19,212.3**	**18,003.5**	**1,208.8**	**6.7%**
Departmental Operations:																
Personal Service	1,026.0	1,016.1	1,314.3	1,003.7									4,360.1	4,457.9	(97.8)	-2.2%
Non-Personal Service	317.9	429.2	485.9	364.8									1,597.8	1,578.1	19.7	1.2%
General State Charges	2,618.7	431.1	494.9	430.0									3,974.7	3,757.8	216.9	5.8%
Debt Service, Including Payments on Financing Agreements	113.3	162.9	89.9	25.3									391.4	668.8	(277.4)	-41.5%
Capital Projects	0.1	0.1	0.2	0.2									0.6	0.3	0.3	100.0%
Total Disbursements	**6,753.9**	**7,799.5**	**10,136.6**	**4,846.9**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**29,536.9**	**28,466.4**	**1,070.5**	**3.8%**
Excess (Deficiency) of Receipts over Disbursements	**2,746.4**	**(2,198.2)**	**(803.1)**	**805.1**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**550.2**	**4,292.8**	**(3,742.6)**	**-87.2%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds (**)	3,034.0	2,444.0	2,968.6	2,324.9									10,771.5	11,810.3	(1,038.8)	-8.8%
Transfers to Other Funds (**)	(3,076.5)	(2,440.4)	(2,766.9)	(2,527.2)									(10,811.0)	(11,379.0)	(568.0)	-5.0%
Total Other Financing Sources (Uses)	**(42.5)**	**3.6**	**201.7**	**(202.3)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(39.5)**	**431.3**	**(470.8)**	**-109.2%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**2,703.9**	**(2,194.6)**	**(601.4)**	**602.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**510.7**	**4,724.1**	**(4,213.4)**	**-89.2%**
Ending Fund Balance	**$ 15,345.1**	**$ 13,150.5**	**$ 12,549.1**	**$ 13,151.9**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 13,151.9**	**$ 14,614.9**	**$ (1,463.0)**	**-10.0%**

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal funds) and Debt Service Funds.
(**) Eliminations between State and Federal Special Revenue Funds are not included.

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT F

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 8,934.1	$ 10,892.7	$ 7,750.5	$ 7,210.2									$ 8,934.1	$ 7,299.5	$ 1,634.6	22.4%
RECEIPTS:																
Taxes:																
Personal Income Tax:																
Withholdings	2,649.4	2,595.0	2,860.0	2,545.1									10,649.5	10,712.8	(63.3)	-0.6%
Estimated payments	4,784.0	137.0	1,950.5	95.0									6,966.5	7,802.1	(835.6)	-10.7%
Returns	1,717.3	63.3	38.8	30.2									1,849.6	1,852.9	(3.3)	-0.2%
State/City Offsets	(184.9)	(18.2)	(16.7)	(15.9)									(235.7)	(204.4)	31.3	15.3%
Other (Assessments/LLC)	170.4	104.2	122.9	79.4									476.9	432.1	44.8	10.4%
Gross Receipts	9,136.2	2,881.3	4,955.5	2,733.8	-	-	-	-	-	-	-	-	19,706.8	20,595.5	(888.7)	-4.3%
Transfers to School Tax Relief Fund	(1.3)	-	(420.2)	-									(421.5)	(434.3)	(12.8)	-2.9%
Transfers to Revenue Bond Tax Fund	(1,595.9)	(546.5)	(1,180.9)	(640.5)									(3,963.8)	(4,141.5)	(177.7)	-4.3%
Refunds issued	(2,752.5)	(695.6)	(231.6)	(172.0)									(3,851.7)	(4,029.6)	(177.9)	-4.4%
Total Personal Income Tax	4,786.5	1,639.2	3,122.8	1,921.3	-	-	-	-	-	-	-	-	11,469.8	11,990.1	(520.3)	-4.3%
Consumption/Use Taxes:																
Sales and Use	497.9	474.7	655.4	508.9									2,136.9	2,078.4	58.5	2.8%
Auto Rental	-	-	-	-									-	-	-	0.0%
Cigarette/Tobacco Products	28.7	28.9	33.9	29.2									120.7	103.8	16.9	16.3%
Motor Fuel	-	-	-	-									-	-	-	0.0%
Alcoholic Beverage	20.4	19.3	21.7	29.8									91.2	91.3	(0.1)	-0.1%
Highway Use	-	-	-	-									-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-									-	-	-	0.0%
Total Consumption/Use Taxes	547.0	522.9	711.0	567.9	-	-	-	-	-	-	-	-	2,348.8	2,273.5	75.3	3.3%
Business Taxes:																
Corporation Franchise	123.8	60.0	514.5	64.2									762.5	1,000.9	(238.4)	-23.8%
Corporation and Utilities	8.1	1.1	94.7	1.5									105.4	108.1	(2.7)	-2.5%
Insurance	18.2	20.0	286.9	2.9									328.0	289.0	39.0	13.5%
Bank	7.9	2.5	(24.8)	2.8									(11.6)	11.2	(22.8)	-203.6%
Petroleum Business	-	-	-	-									-	-	-	0.0%
Total Business Taxes	158.0	83.6	871.3	71.4	-	-	-	-	-	-	-	-	1,184.3	1,409.2	(224.9)	-16.0%
Other Taxes:																
Real Property Gains	-	-	-	-									-	-	-	0.0%
Estate and Gift	74.9	106.1	77.2	72.7									330.9	622.8	(291.9)	-46.9%
Pari-Mutuel	0.7	1.4	1.7	1.3									5.1	5.5	(0.4)	-7.3%
Real Estate Transfer	-	-	-	-									-	-	-	0.0%
Racing and Exhibitions	-	0.1	-	0.1									0.2	0.3	(0.1)	-33.3%
Metropolitan Commuter Trans. Mobility	-	-	-	-									-	-	-	0.0%
Total Other Taxes	75.6	107.6	78.9	74.1	-	-	-	-	-	-	-	-	336.2	628.6	(292.4)	-46.5%
Total Taxes	5,567.1	2,353.3	4,784.0	2,634.7	-	-	-	-	-	-	-	-	15,339.1	16,301.4	(962.3)	-5.9%
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	-	-	-	-									-	-	-	0.0%
Bottle Bill	(0.3)	0.1	8.1	0.1									8.0	7.3	0.7	9.6%
Assessments:																
Business	-	250.0	-	-									250.0	250.0	-	0.0%
Medical Care	6.5	2.2	4.8	-									13.5	15.9	(2.4)	-15.1%
Public Utilities	-	-	-	-									-	-	-	0.0%
Other	0.1	-	-	-									0.1	0.2	(0.1)	-50.0%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	5.6	5.1	4.4	4.5									19.6	25.0	(5.4)	-21.6%
Business/Professional	0.9	6.2	33.0	11.0									51.1	55.2	(4.1)	-7.4%
Civil	19.2	13.9	20.5	26.5									80.1	81.7	(1.6)	-2.0%
Criminal	-	0.1	-	0.1									0.2	0.2	-	0.0%
Motor Vehicle	16.9	16.4	26.0	(4.0)									55.3	78.3	(23.0)	-29.4%
Recreational/Consumer	1.1	1.1	1.4	0.8									4.4	6.0	(1.6)	-26.7%
Fines, Penalties and Forfeitures	1.8	48.3	19.7	10.9									80.7	1,169.3	(1,088.6)	-93.1%
Interest Earnings	2.4	2.1	2.2	1.5									8.2	1.9	6.3	331.6%
Receipts from Public Authorities:																
Cost Recovery Assessments	-	-	-	2.2									2.2	-	2.2	0.0%
Issuance Fees	8.4	6.1	3.2	8.4									26.1	27.0	(0.9)	-3.3%
Non Bond Related	-	0.9	-	(0.6)									0.3	0.3	-	0.0%
Receipts from Municipalities	-	16.7	16.6	16.7									50.0	-	50.0	100.0%
Rentals	0.1	0.4	0.1	0.3									0.9	1.3	(0.4)	-30.8%
Revenues of State Departments:																
Administrative Recoveries	-	-	24.9	0.7									25.6	21.1	4.5	21.3%
Gifts, Grants and Donations	-	-	-	-									-	0.1	(0.1)	-100.0%
Indirect Cost Recoveries	0.4	20.7	6.8	(0.4)									27.5	26.4	1.1	4.2%
Rebates	(1.8)	-	1.4	-									(0.4)	1.4	(1.8)	-128.6%
Restitution and Settlements	8.4	121.2	(0.1)	4.4									133.9	1,131.7	(997.8)	-88.2%
Student Loans	-	-	-	-									-	-	-	0.0%
All Other	(1.4)	1.6	3.7	3.7									7.6	9.0	(1.4)	-15.6%
Sales	-	-	-	-									-	0.9	(0.9)	-100.0%
Total Miscellaneous Receipts	68.3	513.1	176.7	86.8	-	-	-	-	-	-	-	-	844.9	2,910.2	(2,065.3)	-71.0%

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STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT F

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Federal Receipts	-	0.2	0.1	-									0.3	0.1	0.2	200.0%
Total Receipts	5,635.4	2,866.6	4,960.8	2,721.5	-	-	-	-	-	-	-	-	16,184.3	19,211.7	(3,027.4)	-15.8%
DISBURSEMENTS:																
Local Assistance Grants:																
Education	828.1	3,043.4	3,045.9	418.3									7,335.7	6,908.0	427.7	6.2%
Environment and Recreation	0.1	0.4	0.4	-									0.9	2.7	(1.8)	-66.7%
General Government	2.1	12.6	559.7	10.7									585.1	581.8	3.3	0.6%
Public Health:																
Medicaid	990.1	1,259.9	1,361.8	1,070.3									4,682.1	4,495.7	186.4	4.1%
Other Public Health	24.7	210.8	255.3	62.1									552.9	342.9	210.0	61.2%
Public Safety	7.2	11.0	8.1	17.0									43.3	68.0	(24.7)	-36.3%
Public Welfare	122.9	130.1	420.9	288.6									962.5	920.5	42.0	4.6%
Support and Regulate Business	2.2	6.4	11.3	17.2									37.1	17.0	20.1	118.2%
Transportation	-	23.2	11.0	0.1									34.3	24.3	10.0	41.2%
Total Local Assistance Grants	1,977.4	4,697.8	5,674.4	1,884.3	-	-	-	-	-	-	-	-	14,233.9	13,360.9	873.0	6.5%
Departmental Operations:																
Personal Service	474.9	487.9	609.4	476.2									2,048.4	2,092.5	(44.1)	-2.1%
Non-Personal Service	102.9	135.3	162.1	131.5									531.8	507.6	24.2	4.8%
General State Charges	2,439.7	193.5	391.3	403.1									3,427.6	3,296.1	131.5	4.0%
Total Disbursements	4,994.9	5,514.5	6,837.2	2,895.1	-	-	-	-	-	-	-	-	20,241.7	19,257.1	984.6	5.1%
Excess (Deficiency) of Receipts over Disbursements	640.5	(2,647.9)	(1,876.4)	(173.6)	-	-	-	-	-	-	-	-	(4,057.4)	(45.4)	(4,012.0)	8,837.0%
OTHER FINANCING SOURCES (USES):																
Transfers from Revenue Bond Tax Fund	1,594.3	530.8	1,181.0	469.7									3,775.8	3,943.5	(167.7)	-4.3%
Transfers from LGAC / STRBTF	442.8	295.7	727.0	455.1									1,920.6	2,013.3	(92.7)	-4.6%
Transfers from CW/CA Fund	74.0	74.1	90.5	96.3									334.9	322.8	12.1	3.7%
Transfers from Other Funds	5.0	38.8	23.0	6.0									72.8	337.7	(264.9)	-78.4%
Transfers to State Capital Projects	(122.3)	(71.3)	39.6	(214.3)									(368.3)	(46.7)	321.6	688.7%
Transfers to Federal Capital Projects	-	-	-	-									-	-	-	0.0%
Transfers to All Other Capital Projects	(40.0)	(108.0)	(145.7)	(130.0)									(423.7)	(178.4)	245.3	137.5%
Transfers to General Debt Service	(245.3)	1.8	3.0	(166.9)									(407.4)	(438.3)	(30.9)	-7.0%
Transfers to All Other State Funds	(390.4)	(1,256.2)	(582.3)	(787.2)									(3,016.1)	(3,582.8)	(566.7)	-15.8%
Total Other Financing Sources (Uses)	1,318.1	(494.3)	1,336.1	(271.3)	-	-	-	-	-	-	-	-	1,888.6	2,371.1	(482.5)	-20.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,958.6	(3,142.2)	(540.3)	(444.9)	-	-	-	-	-	-	-	-	(2,168.8)	2,325.7	(4,494.5)	-193.3%
Ending Fund Balance	$ 10,892.7	$ 7,750.5	$ 7,210.2	$ 6,765.3	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 6,765.3	$ 9,625.2	$ (2,859.9)	-29.7%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT G

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 3,607.1	$ 3,870.6	$ 4,768.1	$ 5,296.3									$ 3,607.1	$ 2,661.8	$ 945.3	35.5%
RECEIPTS:																
Taxes:																
Personal Income Tax	1.3	-	420.2	-									421.5	434.3	(12.8)	-2.9%
Consumption/Use Taxes:																
Sales and Use	90.9	65.8	89.5	69.3									315.5	313.9	1.6	0.5%
Auto Rental	0.7	-	13.4	4.5									18.6	12.4	6.2	50.0%
Cigarette/Tobacco Products	69.9	70.5	86.9	74.6									301.9	330.7	(28.8)	-8.7%
Medical Marijuana	-	-	0.1	-									0.1	-	0.1	100.0%
Motor Fuel	8.2	7.9	9.2	10.1									35.4	34.8	0.6	1.7%
Alcoholic Beverage	-	-	-	-									-	-	-	0.0%
Highway Use	-	-	-	-									-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Trip	15.7	0.6	0.6	15.7									32.6	38.3	(5.7)	-14.9%
Total Consumption/Use Taxes	185.4	144.8	199.7	174.2	-	-	-	-	-	-	-	-	704.1	730.1	(26.0)	-3.6%
Business Taxes:																
Corporation Franchise	31.9	23.5	114.0	10.8									180.2	163.3	16.9	10.3%
Corporation and Utilities	2.3	0.1	29.2	3.7									35.3	30.9	4.4	14.2%
Insurance	1.5	0.2	40.3	0.8									42.8	35.6	7.2	20.2%
Bank	(1.7)	(3.4)	(0.3)	-									(5.4)	22.7	(28.1)	-123.8%
Petroleum Business	39.3	34.7	41.5	52.5									168.0	164.2	3.8	2.3%
Total Business Taxes	73.3	55.1	224.7	67.8	-	-	-	-	-	-	-	-	420.9	416.7	4.2	1.0%
Other Taxes:																
Metropolitan Commuter Trans. Mobility	116.6	94.0	100.6	85.2									396.4	411.4	(15.0)	-3.6%
Total Other Taxes	116.6	94.0	100.6	85.2	-	-	-	-	-	-	-	-	396.4	411.4	(15.0)	-3.6%
Total Taxes	376.6	293.9	945.2	327.2	-	-	-	-	-	-	-	-	1,942.9	1,992.5	(49.6)	-2.5%
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	0.9	(0.1)	1.8	0.9									3.5	3.4	0.1	2.9%
Assessments:																
Business	32.4	59.5	113.4	8.7									214.0	248.8	(34.8)	-14.0%
Medical Care	416.5	479.9	485.5	468.7									1,850.6	1,756.0	94.6	5.4%
Public Utilities	5.7	0.2	(0.1)	-									5.8	0.9	4.9	544.4%
Other	20.4	18.9	19.3	19.8									78.4	74.4	4.0	5.4%
Fees, Licenses and Permits:																
Audit Fees	-	0.9	1.0	0.1									2.0	-	2.0	100.0%
Business/Professional	47.7	39.0	71.4	34.6									192.7	266.0	(73.3)	-27.6%
Civil	5.4	4.2	4.5	4.5									18.6	17.7	0.9	5.1%
Criminal	-	2.0	0.3	0.3									2.6	3.1	(0.5)	-16.1%
Motor Vehicle	39.9	42.1	42.6	46.6									171.2	170.0	1.2	0.7%
Recreational/Consumer	39.2	39.6	47.3	38.8									164.9	99.2	65.7	66.2%
Fines, Penalties and Forfeitures	5.1	25.0	11.1	12.4									53.6	379.1	(325.5)	-85.9%
Gaming:																
Casino	15.3	-	34.4	15.6									65.3	92.4	(27.1)	-29.3%
Lottery	188.8	202.5	244.8	200.9									837.0	826.3	10.7	1.3%
Video Lottery	78.4	77.4	90.8	76.6									323.2	330.9	(7.7)	-2.3%
Interest Earnings	2.8	5.2	3.9	4.4									16.3	10.8	5.5	50.9%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-									-	-	-	0.0%
Cost Recovery Assessments	-	-	22.6	(2.2)									20.4	11.0	9.4	85.5%
Issuance Fees	7.2	-	-	-									7.2	7.2	-	0.0%
Non Bond Related	0.9	-	-	0.2									1.1	1.2	(0.1)	-8.3%
Receipts from Municipalities	58.4	7.2	37.3	4.7									107.6	60.9	46.7	76.7%
Rentals	55.3	31.1	21.3	2.2									109.9	86.2	23.7	27.5%
Revenues of State Departments:																
Administrative Recoveries	0.4	29.1	9.7	20.2									59.4	34.6	24.8	71.7%
Commissions	0.2	0.2	0.2	0.1									0.7	0.7	-	0.0%
Gifts, Grants and Donations	0.9	1.0	3.1	0.8									5.8	2.1	3.7	176.2%
Indirect Cost Recoveries	-	5.0	-	-									5.0	4.0	1.0	25.0%
Patient/Client Care Reimbursement	145.8	189.7	91.8	120.5									547.8	(108.5)	656.3	604.9%
Rebates	11.0	12.7	10.0	22.4									56.1	55.5	0.6	1.1%
Restitution and Settlements	(1.2)	11.0	62.9	29.4									102.1	10.7	91.4	854.2%
Student Loans	8.2	6.9	6.2	7.4									28.7	24.3	4.4	18.1%
All Other	50.3	26.0	48.0	38.8									163.1	25.2	137.9	547.2%
Sales	0.7	1.4	1.5	1.3									4.9	7.6	(2.7)	-35.5%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT G

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Tuition	54.7	45.5	60.7	48.7									209.6	386.7	(177.1)	-45.8%
Total Miscellaneous Receipts	1,291.3	1,363.1	1,547.3	1,227.4	-	-	-	-	-	-	-	-	5,429.1	4,888.4	540.7	11.1%
Federal Receipts	3,149.5	4,040.9	4,981.0	3,491.2									15,662.6	14,312.1	1,350.5	9.4%
Total Receipts	4,817.4	5,697.9	7,473.5	5,045.8	-	-	-	-	-	-	-	-	23,034.6	21,193.0	1,841.6	8.7%
DISBURSEMENTS:																
Local Assistance Grants:																
Education	269.8	282.9	1,018.1	167.5									1,738.3	1,968.0	(229.7)	-11.7%
Environment and Recreation	0.6	-	0.9	0.4									1.9	2.3	(0.4)	-17.4%
General Government	10.5	21.2	32.4	19.4									83.5	68.4	15.1	22.1%
Public Health:																
Medicaid	2,579.0	3,124.7	3,433.8	3,197.4									12,334.9	11,518.4	816.5	7.1%
Other Public Health	570.0	452.2	578.6	652.1									2,252.9	1,610.4	642.5	39.9%
Public Safety	85.0	141.1	99.0	119.6									444.7	448.9	(4.2)	-0.9%
Public Welfare	247.2	283.2	327.4	272.9									1,130.7	1,287.2	(156.5)	-12.2%
Support and Regulate Business	0.1	1.2	4.7	1.7									7.7	9.5	(1.8)	-18.9%
Transportation	198.2	461.4	522.1	310.4									1,492.1	1,374.4	117.7	8.6%
Total Local Assistance Grants	3,960.4	4,767.9	6,017.0	4,741.4	-	-	-	-	-	-	-	-	19,486.7	18,287.5	1,199.2	6.6%
Departmental Operations:																
Personal Service	599.9	572.4	776.8	568.8									2,517.9	2,572.4	(54.5)	-2.1%
Non-Personal Service	260.1	386.2	439.7	298.2									1,384.2	1,375.2	9.0	0.7%
General State Charges	189.5	272.7	117.8	27.1									607.1	532.5	74.6	14.0%
Capital Projects	0.1	0.1	0.2	0.2									0.6	0.3	0.3	100.0%
Total Disbursements	5,010.0	5,999.3	7,351.5	5,635.7	-	-	-	-	-	-	-	-	23,996.5	22,767.9	1,228.6	5.4%
Excess (Deficiency) of Receipts over Disbursements	(192.6)	(301.4)	122.0	(589.9)	-	-	-	-	-	-	-	-	(961.9)	(1,574.9)	613.0	38.9%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	545.9	1,352.8	627.9	976.4									3,503.0	3,966.1	(463.1)	-11.7%
Transfers to Other Funds	(89.8)	(153.9)	(221.7)	(127.9)									(593.3)	(870.9)	(277.6)	-31.9%
Total Other Financing Sources (Uses)	456.1	1,198.9	406.2	848.5	-	-	-	-	-	-	-	-	2,909.7	3,095.2	(185.5)	-6.0%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	263.5	897.5	528.2	258.6	-	-	-	-	-	-	-	-	1,947.8	1,520.3	427.5	28.1%
Ending Fund Balance	$ 3,870.6	$ 4,768.1	$ 5,296.3	$ 5,554.9	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 5,554.9	$ 4,182.1	$ 1,372.8	32.8%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT G

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:																	
Taxes:																	
Personal Income Tax	$ 1.3	$ -	$ 420.2	$ -									$ -	$ 421.5	$ 434.3	$ (12.8)	-2.9%
Consumption/Use Taxes:																	
Sales and Use	90.9	65.8	89.5	69.3									-	315.5	313.9	1.6	0.5%
Auto Rental	0.7	-	13.4	4.5									-	18.6	12.4	6.2	50.0%
Cigarette/Tobacco Products	69.9	70.5	86.9	74.6									-	301.9	330.7	(28.8)	-8.7%
Medical Marijuana	-	-	0.1	-									-	0.1	-	0.1	100.0%
Motor Fuel	8.2	7.9	9.2	10.1									-	35.4	34.8	0.6	1.7%
Alcoholic Beverage	-	-	-	-									-	-	-	-	0.0%
Highway Use	-	-	-	-									-	-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Trip	15.7	0.6	0.6	15.7									-	32.6	38.3	(5.7)	-14.9%
Total Consumption/Use Taxes	185.4	144.8	199.7	174.2	-	-	-	-	-	-	-	-	-	704.1	730.1	(26.0)	-3.6%
Business Taxes																	
Corporation Franchise	31.9	23.5	114.0	10.8									-	180.2	163.3	16.9	10.3%
Corporation and Utilities	2.3	0.1	29.2	3.7									-	35.3	30.9	4.4	14.2%
Insurance	1.5	0.2	40.3	0.8									-	42.8	35.6	7.2	20.2%
Bank	(1.7)	(3.4)	(0.3)	-									-	(5.4)	22.7	(28.1)	-123.8%
Petroleum Business	39.3	34.7	41.5	52.5									-	168.0	164.2	3.8	2.3%
Total Business Taxes	73.3	55.1	224.7	67.8	-	-	-	-	-	-	-	-	-	420.9	416.7	4.2	1.0%
Other Taxes																	
Metropolitan Commuter Trans. Mobility	116.6	94.0	100.6	85.2									-	396.4	411.4	(15.0)	-3.6%
Total Other Taxes	116.6	94.0	100.6	85.2	-	-	-	-	-	-	-	-	-	396.4	411.4	(15.0)	-3.6%
Total Taxes	376.6	293.9	945.2	327.2	-	-	-	-	-	-	-	-	-	1,942.9	1,992.5	(49.6)	-2.5%
Miscellaneous Receipts:																	
Abandoned Property:																	
Abandoned Property	0.9	(0.1)	1.8	0.9									-	3.5	3.4	0.1	2.9%
Assessments:																	
Business	28.5	26.1	113.3	6.7									-	174.6	211.4	(36.8)	-17.4%
Medical Care	416.5	479.9	485.5	468.7									-	1,850.6	1,756.0	94.6	5.4%
Public Utilities	5.7	0.2	(0.1)	-									-	5.8	0.9	4.9	544.4%
Other	20.4	18.9	19.3	19.8									-	78.4	74.4	4.0	5.4%
Fees, Licenses and Permits:																	
Audit Fees	-	0.9	1.0	0.1									-	2.0	-	2.0	100.0%
Business/Professional	47.7	39.0	71.4	34.6									-	192.7	266.0	(73.3)	-27.6%
Civil	5.4	4.2	4.5	4.5									-	18.6	17.7	0.9	5.1%
Criminal	-	2.0	0.3	0.3									-	2.6	3.1	(0.5)	-16.1%
Motor Vehicle	39.9	42.1	42.6	46.6									-	171.2	170.0	1.2	0.7%
Recreational/Consumer	39.2	39.6	47.3	38.8									-	164.9	99.2	65.7	66.2%
Fines, Penalties and Forfeitures	4.2	24.3	10.5	9.2									-	48.2	375.7	(327.5)	-87.2%
Gaming:																	
Casino	15.3	-	34.4	15.6									-	65.3	92.4	(27.1)	-29.3%
Lottery	188.8	202.5	244.8	200.9									-	837.0	826.3	10.7	1.3%
Video Lottery	78.4	77.4	90.8	76.6									-	323.2	330.9	(7.7)	-2.3%
Interest Earnings	2.6	5.0	3.7	4.3									-	15.6	10.7	4.9	45.8%
Receipts from Public Authorities:																	
Bond Proceeds	-	-	-	-									-	-	-	-	0.0%
Cost Recovery Assessments	-	-	22.6	(2.2)									-	20.4	11.0	9.4	85.5%
Issuance Fees	7.2	-	-	-									-	7.2	7.2	-	0.0%
Non Bond Related	0.9	-	-	0.2									-	1.1	1.2	(0.1)	-8.3%
Receipts from Municipalities	58.4	7.2	37.3	4.7									-	107.6	60.9	46.7	76.7%
Rentals	55.3	31.1	21.3	2.2									-	109.9	86.2	23.7	27.5%
Revenues of State Departments:																	
Administrative Recoveries	0.4	29.1	9.6	20.2									-	59.3	34.5	24.8	71.9%
Commissions	0.2	0.2	0.2	0.1									-	0.7	0.7	-	0.0%
Gifts, Grants and Donations	0.9	1.0	3.1	0.8									-	5.8	2.1	3.7	176.2%
Indirect Cost Recoveries	-	5.0	-	-									-	5.0	4.0	1.0	25.0%
Patient/Client Care Reimbursement	145.8	189.7	91.8	120.5									-	547.8	(108.5)	656.3	604.9%
Rebates	3.1	3.5	2.2	14.0									-	22.8	21.8	1.0	4.6%
Restitution and Settlements	(1.2)	11.0	62.9	29.4									-	102.1	10.6	91.5	863.2%
Student Loans	8.2	6.9	6.2	7.4									-	28.7	24.3	4.4	18.1%
All Other	50.2	25.6	48.1	38.8									-	162.7	24.6	138.1	561.4%
Sales	0.7	1.4	1.3	1.3									-	4.7	7.6	(2.9)	-38.2%

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STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT G

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	4 Months Ended July 31 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Tuition	54.7	45.5	60.7	48.7									-	209.6	386.7	(177.1)	-45.8%
Total Miscellaneous Receipts	1,278.3	1,319.2	1,538.4	1,213.7	-	-	-	-	-	-	-	-	-	5,349.6	4,813.0	536.6	11.1%
Federal Receipts	14.8	0.5	-	(1.1)									-	14.2	-	14.2	100.0%
Total Receipts	1,669.7	1,613.6	2,483.6	1,539.8	-	-	-	-	-	-	-	-	-	7,306.7	6,805.5	501.2	7.4%
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	1.4	0.5	721.0	(0.2)									-	722.7	742.0	(19.3)	-2.6%
Environment and Recreation	-	-	0.2	0.2									-	0.4	0.8	(0.4)	-50.0%
General Government	9.7	17.3	24.1	18.4									-	69.5	53.1	16.4	30.9%
Public Health:																	
Medicaid	335.2	497.6	428.4	641.7									-	1,902.9	1,715.1	187.8	10.9%
Other Public Health	149.8	67.6	373.7	161.8									-	752.9	720.1	32.8	4.6%
Public Safety	11.8	19.4	11.2	7.4									-	49.8	41.0	8.8	21.5%
Public Welfare	0.4	0.9	0.5	0.1									-	1.9	2.1	(0.2)	-9.5%
Support and Regulate Business	0.1	1.2	4.7	1.4									-	7.4	7.7	(0.3)	-3.9%
Transportation	192.1	457.8	513.2	307.8									-	1,470.9	1,360.7	110.2	8.1%
Total Local Assistance Grants	700.5	1,062.3	2,077.0	1,138.6	-	-	-	-	-	-	-	-	-	4,978.4	4,642.6	335.8	7.2%
Departmental Operations:																	
Personal Service	551.1	528.2	704.9	527.5									-	2,311.7	2,365.4	(53.7)	-2.3%
Non-Personal Service	214.5	292.2	323.0	218.8									-	1,048.5	1,057.7	(9.2)	-0.9%
General State Charges	179.0	237.6	103.6	26.9									-	547.1	461.7	85.4	18.5%
Capital Projects	0.1	0.1	0.2	0.2									-	0.6	0.3	0.3	100.0%
Total Disbursements	1,645.2	2,120.4	3,208.7	1,912.0	-	-	-	-	-	-	-	-	-	8,886.3	8,527.7	358.6	4.2%
Excess (Deficiency) of Receipts over Disbursements	24.5	(506.8)	(725.1)	(372.2)	-	-	-	-	-	-	-	-	-	(1,579.6)	(1,722.2)	142.6	8.3%
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	560.0	1,365.6	755.0	996.8									(174.4)	3,503.0	3,966.1	(463.1)	-11.7%
Transfers to Other Funds	(4.4)	(4.3)	(38.9)	(18.4)									-	(66.0)	(459.9)	(393.9)	-85.6%
Total Other Financing Sources (Uses)	555.6	1,361.3	716.1	978.4	-	-	-	-	-	-	-	-	(174.4)	3,437.0	3,506.2	(69.2)	-2.0%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	$ 580.1	$ 854.5	$ (9.0)	$ 606.2	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ (174.4)	$ 1,857.4	$ 1,784.0	$ 73.4	4.1%

(*) Intra-Fund transfer eliminations represent transfers from Special Revenue-Federal Funds.

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT G

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:																	
Miscellaneous Receipts:																	
Abandoned Property:																	
Abandoned Property	$ -	$ -	$ -	$ -									$ -	$ -	$ -	$ -	0.0%
Assessments:																	
Business	3.9	33.4	0.1	2.0									-	39.4	37.4	2.0	5.3%
Medical Care	-	-	-	-									-	-	-	-	0.0%
Public Utilities	-	-	-	-									-	-	-	-	0.0%
Other	-	-	-	-									-	-	-	-	0.0%
Fees, Licenses and Permits:																	
Business/Professional	-	-	-	-									-	-	-	-	0.0%
Civil	-	-	-	-									-	-	-	-	0.0%
Criminal	-	-	-	-									-	-	-	-	0.0%
Motor Vehicle	-	-	-	-									-	-	-	-	0.0%
Recreational/Consumer	-	-	-	-									-	-	-	-	0.0%
Fines, Penalties and Forfeitures	0.9	0.7	0.6	3.2									-	5.4	3.4	2.0	58.8%
Interest Earnings	0.2	0.2	0.2	0.1									-	0.7	0.1	0.6	600.0%
Receipts from Public Authorities:																	
Bond Proceeds	-	-	-	-									-	-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-									-	-	-	-	0.0%
Issuance Fees	-	-	-	-									-	-	-	-	0.0%
Non Bond Related	-	-	-	-									-	-	-	-	0.0%
Receipts from Municipalities	-	-	-	-									-	-	-	-	0.0%
Rentals	-	-	-	-									-	-	-	-	0.0%
Revenues of State Departments:																	
Administrative Recoveries	-	-	0.1	-									-	0.1	0.1	-	0.0%
Commissions	-	-	-	-									-	-	-	-	0.0%
Gifts, Grants and Donations	-	-	-	-									-	-	-	-	0.0%
Indirect Cost Recoveries	-	-	-	-									-	-	-	-	0.0%
Patient/Client Care Reimbursement	-	-	-	-									-	-	-	-	0.0%
Rebates	7.9	9.2	7.8	8.4									-	33.3	33.7	(0.4)	-1.2%
Restitution and Settlements	-	-	-	-									-	-	0.1	(0.1)	-100.0%
Student Loans	-	-	-	-									-	-	-	-	0.0%
All Other	0.1	0.4	(0.1)	-									-	0.4	0.6	(0.2)	-33.3%
Sales	-	-	0.2	-									-	0.2	-	0.2	100.0%
Tuition	-	-	-	-									-	-	-	-	0.0%
Total Miscellaneous Receipts	13.0	43.9	8.9	13.7	-	-	-	-	-	-	-	-	-	79.5	75.4	4.1	5.4%
Federal Receipts	3,134.7	4,040.4	4,981.0	3,492.3									-	15,648.4	14,312.1	1,336.3	9.3%
Total Receipts	3,147.7	4,084.3	4,989.9	3,506.0	-	-	-	-	-	-	-	-	-	15,727.9	14,387.5	1,340.4	9.3%

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STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT G

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	268.4	282.4	297.1	167.7									-	1,015.6	1,226.0	(210.4)	-17.2%
Environment and Recreation	0.6	-	0.7	0.2									-	1.5	1.5	-	0.0%
General Government	0.8	3.9	8.3	1.0									-	14.0	15.3	(1.3)	-8.5%
Public Health:																	
Medicaid	2,243.8	2,627.1	3,005.4	2,555.7									-	10,432.0	9,803.3	628.7	6.4%
Other Public Health	420.2	384.6	204.9	490.3									-	1,500.0	890.3	609.7	68.5%
Public Safety	73.2	121.7	87.8	112.2									-	394.9	407.9	(13.0)	-3.2%
Public Welfare	246.8	282.3	326.9	272.8									-	1,128.8	1,285.1	(156.3)	-12.2%
Support and Regulate Business	-	-	-	0.3									-	0.3	1.8	(1.5)	-83.3%
Transportation	6.1	3.6	8.9	2.6									-	21.2	13.7	7.5	54.7%
Total Local Assistance Grants	**3,259.9**	**3,705.6**	**3,940.0**	**3,602.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**14,508.3**	**13,644.9**	**863.4**	**6.3%**
Departmental Operations:																	
Personal Service	48.8	44.2	71.9	41.3									-	206.2	207.0	(0.8)	-0.4%
Non-Personal Service	45.6	94.0	116.7	79.4									-	335.7	317.5	18.2	5.7%
General State Charges	10.5	35.1	14.2	0.2									-	60.0	70.8	(10.8)	-15.3%
Capital Projects	-	-	-	-									-	-	-	-	0.0%
Total Disbursements	**3,364.8**	**3,878.9**	**4,142.8**	**3,723.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**15,110.2**	**14,240.2**	**870.0**	**6.1%**
Excess (Deficiency) of Receipts over Disbursements	**(217.1)**	**205.4**	**847.1**	**(217.7)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**617.7**	**147.3**	**470.4**	**319.3%**
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	-	-	-	-									-	-	-	-	0.0%
Transfers to Other Funds	(99.5)	(162.4)	(309.9)	(129.9)									174.4	(527.3)	(411.0)	116.3	28.3%
Total Other Financing Sources (Uses)	**(99.5)**	**(162.4)**	**(309.9)**	**(129.9)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**174.4**	**(527.3)**	**(411.0)**	**116.3**	**28.3%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**$ (316.6)**	**$ 43.0**	**$ 537.2**	**$ (347.6)**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 174.4**	**$ 90.4**	**$ (263.7)**	**$ 354.1**	**134.3%**

(*) Intra-Fund transfer eliminations represent transfers to Special Revenue-State Funds.

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-17
(Amounts in millions)

EXHIBIT H

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 159.7	$ 324.9	$ 418.0	$ 365.9									$ 159.7	$ 118.7	$ 41.0	34.5%
RECEIPTS:																
Taxes:																
Personal Income Tax	1,595.9	546.5	1,180.9	640.5									3,963.8	4,141.5	(177.7)	-4.3%
Consumption/Use Taxes:																
Sales and Use	498.2	474.3	655.1	508.3									2,135.9	2,081.8	54.1	2.6%
Total Consumption/Use Taxes	498.2	474.3	655.1	508.3	-	-	-	-	-	-	-	-	2,135.9	2,081.8	54.1	2.6%
Other Taxes:																
Real Estate Transfer	90.4	74.0	91.1	102.0									357.5	346.9	10.6	3.1%
Total Other Taxes	90.4	74.0	91.1	102.0	-	-	-	-	-	-	-	-	357.5	346.9	10.6	3.1%
Total Taxes	2,184.5	1,094.8	1,927.1	1,250.8	-	-	-	-	-	-	-	-	6,457.2	6,570.2	(113.0)	-1.7%
Miscellaneous Receipts:																
Assessments:																
Medical Care	-	-	-	-									-	-	-	0.0%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	-	-	-	-									-	-	-	0.0%
Business/Professional	-	-	-	-									-	-	-	0.0%
Civil	-	-	-	-									-	-	-	0.0%
Criminal	-	-	-	-									-	-	-	0.0%
Motor Vehicle	-	-	-	-									-	-	-	0.0%
Recreational/Consumer	-	-	-	-									-	-	-	0.0%
Interest Earnings	-	-	-	0.1									0.1	-	0.1	100.0%
Receipts from Municipalities	-	0.4	0.1	-									0.5	1.4	(0.9)	-64.3%
Rentals	-	-	-	-									-	-	-	0.0%
Revenues of State Departments:																
Patient/Client Care Reimbursement	10.7	25.9	(38.1)	138.2									136.7	168.8	(32.1)	-19.0%
Sales	-	-	-	-									-	-	-	0.0%
Total Miscellaneous Receipts	10.7	26.3	(38.0)	138.3	-	-	-	-	-	-	-	-	137.3	170.2	(32.9)	-19.3%
Federal Receipts	-	-	-	1.6									1.6	1.6	-	0.0%
Total Receipts	2,195.2	1,121.1	1,889.1	1,390.7	-	-	-	-	-	-	-	-	6,596.1	6,742.0	(145.9)	-2.2%
DISBURSEMENTS:																
Departmental Operations:																
Non-Personal Service	0.5	1.7	0.8	14.5									17.5	12.8	4.7	36.7%
Debt Service, Including Payments On Financing Agreements	113.3	162.9	89.9	25.3									391.4	668.8	(277.4)	-41.5%
Total Disbursements	113.8	164.6	90.7	39.8	-	-	-	-	-	-	-	-	408.9	681.6	(272.7)	-40.0%
Excess (Deficiency) of Receipts over Disbursements	2,081.4	956.5	1,798.4	1,350.9	-	-	-	-	-	-	-	-	6,187.2	6,060.4	126.8	2.1%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	357.9	139.0	192.1	301.0									990.0	1,181.3	(191.3)	-16.2%
Transfers to Other Funds	(2,274.1)	(1,002.4)	(2,042.6)	(1,210.4)									(6,529.5)	(6,672.9)	(143.4)	-2.1%
Total Other Financing Sources (Uses)	(1,916.2)	(863.4)	(1,850.5)	(909.4)	-	-	-	-	-	-	-	-	(5,539.5)	(5,491.6)	(47.9)	-0.9%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	165.2	93.1	(52.1)	441.5	-	-	-	-	-	-	-	-	647.7	568.8	78.9	13.9%
Ending Fund Balance	$ 324.9	$ 418.0	$ 365.9	$ 807.4	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 807.4	$ 687.5	$ 119.9	17.4%

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STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT I

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (890.8)	$ (857.0)	$ (846.8)	$ (652.0)									$ (890.8)	$ (724.4)	$ (166.4)	-23.0%
RECEIPTS:																
Taxes:																
Consumption/Use Taxes:																
Auto Rental	0.3	-	18.9	0.1									19.3	20.9	(1.6)	-7.7%
Motor Fuel	30.8	29.4	35.1	36.4									131.7	131.7	-	0.0%
Highway Use	12.6	10.7	12.3	12.5									48.1	49.5	(1.4)	-2.8%
Total Consumption/Use Taxes	43.7	40.1	66.3	49.0	-	-	-	-	-	-	-	-	199.1	202.1	(3.0)	-1.5%
Business Taxes:																
Corporation Franchise	-	-	-	-									-	-	-	0.0%
Corporation and Utilities	0.8	-	2.1	0.1									3.0	2.7	0.3	11.1%
Petroleum Business	48.2	43.2	52.1	66.2									209.7	205.6	4.1	2.0%
Total Business Taxes	49.0	43.2	54.2	66.3	-	-	-	-	-	-	-	-	212.7	208.3	4.4	2.1%
Other Taxes:																
Real Estate Transfer	-	-	11.9	11.9									23.8	23.8	-	0.0%
Total Other Taxes	-	-	11.9	11.9	-	-	-	-	-	-	-	-	23.8	23.8	-	0.0%
Total Taxes	92.7	83.3	132.4	127.2	-	-	-	-	-	-	-	-	435.6	434.2	1.4	0.3%
Miscellaneous Receipts:																
Abandoned Property:																
Bottle Bill	-	-	23.0	-									23.0	23.0	-	0.0%
Assessments:																
Business	9.4	8.7	10.3	11.1									39.5	36.0	3.5	9.7%
Fees, Licenses and Permits:																
Business/Professional	2.6	6.3	2.3	1.9									13.1	10.6	2.5	23.6%
Civil	-	-	-	-									-	-	-	0.0%
Motor Vehicle	66.1	64.8	62.0	63.5									256.4	252.5	3.9	1.5%
Recreational/Consumer	0.1	0.3	0.1	0.2									0.7	0.6	0.1	16.7%
Fines, Penalties and Forfeitures	2.3	2.3	2.7	3.5									10.8	6.4	4.4	68.8%
Interest Earnings	0.2	0.1	0.2	0.1									0.6	0.2	0.4	200.0%
Receipts from Public Authorities:																
Bond Proceeds	-	112.9	556.0	4.2									673.1	965.9	(292.8)	-30.3%
Issuance Fees	-	-	-	-									-	-	-	0.0%
Non Bond Related	0.1	-	0.6	-									0.7	2.8	(2.1)	-75.0%
Receipts from Municipalities	-	0.6	0.3	0.4									1.3	0.2	1.1	550.0%
Rentals	0.7	0.2	0.4	1.2									2.5	1.9	0.6	31.6%
Revenues of State Departments:																
Administrative Recoveries	-	-	-	-									-	0.1	(0.1)	-100.0%
Gifts, Grants and Donations	2.5	1.6	0.1	0.8									5.0	1.1	3.9	354.5%
Indirect Cost Recoveries	-	-	-	-									-	-	-	0.0%
Rebates	-	-	-	-									-	0.2	(0.2)	-100.0%
Restitution and Settlements	-	0.5	0.5	1.7									2.7	1.8	0.9	50.0%
All Other	0.1	0.8	2.7	0.8									4.4	7.2	(2.8)	-38.9%
Sales	1.1	-	0.1	0.1									1.3	0.2	1.1	550.0%
Total Miscellaneous Receipts	85.2	199.1	661.3	89.5	-	-	-	-	-	-	-	-	1,035.1	1,310.7	(275.6)	-21.0%
Federal Receipts	126.2	156.4	227.3	153.4									663.3	570.4	92.9	16.3%
Total Receipts	304.1	438.8	1,021.0	370.1	-	-	-	-	-	-	-	-	2,134.0	2,315.3	(181.3)	-7.8%

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT I

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	-	0.2	0.1	7.8									8.1	0.6	7.5	1,250.0%
Environment and Recreation	2.7	3.9	7.2	12.3									26.1	22.8	3.3	14.5%
General Government	58.9	11.5	18.0	16.6									105.0	34.2	70.8	207.0%
Public Health:																
Medicaid	-	-	-	-									-	-	-	0.0%
Other Public Health	2.7	11.5	7.4	9.8									31.4	22.0	9.4	42.7%
Public Safety	(1.3)	5.9	0.5	2.2									7.3	-	7.3	100.0%
Public Welfare	-	15.8	-	35.0									50.8	43.7	7.1	16.2%
Support and Regulate Business	2.7	8.3	176.8	46.0									233.8	235.6	(1.8)	-0.8%
Transportation	27.8	40.4	78.9	77.3									224.4	164.9	59.5	36.1%
Total Local Assistance Grants	**93.5**	**97.5**	**288.9**	**207.0**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**686.9**	**523.8**	**163.1**	**31.1%**
Departmental Operations:																
Personal Service	-	-	-	-									-	-	-	0.0%
Non-Personal Service	-	-	-	-									-	-	-	0.0%
General State Charges	-	-	-	-									-	-	-	0.0%
Capital Projects	313.5	485.9	643.6	470.7									1,913.7	1,734.7	179.0	10.3%
Total Disbursements	**407.0**	**583.4**	**932.5**	**677.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,600.6**	**2,258.5**	**342.1**	**15.1%**
Excess (Deficiency) of Receipts over Disbursements	**(102.9)**	**(144.6)**	**88.5**	**(307.6)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(466.6)**	**56.8**	**(523.4)**	**-921.5%**
OTHER FINANCING SOURCES (USES):																
Bond Proceeds (net)	-	-	-	-									-	-	-	0.0%
Transfers from Other Funds	162.2	183.8	138.4	362.5									846.9	271.8	575.1	211.6%
Transfers to Other Funds	(25.5)	(29.0)	(32.1)	(31.2)									(117.8)	(318.4)	(200.6)	-63.0%
Total Other Financing Sources (Uses)	**136.7**	**154.8**	**106.3**	**331.3**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**729.1**	**(46.6)**	**775.7**	**1,664.6%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**33.8**	**10.2**	**194.8**	**23.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**262.5**	**10.2**	**252.3**	**2,473.5%**
Ending Fund Balance	**$ (857.0)**	**$ (846.8)**	**$ (652.0)**	**$ (628.3)**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ (628.3)**	**$ (714.2)**	**$ 85.9**	**12.0%**

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STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT I

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	4 Months Ended July 31 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:																	
Taxes:																	
Consumption/Use Taxes																	
Auto Rental	$ 0.3	$ -	$ 18.9	$ 0.1									$ -	$ 19.3	$ 20.9	$ (1.6)	-7.7%
Motor Fuel	30.8	29.4	35.1	36.4									-	131.7	131.7	-	0.0%
Highway Use	12.6	10.7	12.3	12.5									-	48.1	49.5	(1.4)	-2.8%
Total Consumption/Use Taxes	43.7	40.1	66.3	49.0	-	-	-	-	-	-	-	-	-	199.1	202.1	(3.0)	-1.5%
Business Taxes																	
Corporation Franchise	-	-	-	-									-	-	-	-	0.0%
Corporation and Utilities	0.8	-	2.1	0.1									-	3.0	2.7	0.3	11.1%
Petroleum Business	48.2	43.2	52.1	66.2									-	209.7	205.6	4.1	2.0%
Total Business Taxes	49.0	43.2	54.2	66.3	-	-	-	-	-	-	-	-	-	212.7	208.3	4.4	2.1%
Other Taxes																	
Real Estate Transfer	-	-	11.9	11.9									-	23.8	23.8	-	0.0%
Total Other Taxes	-	-	11.9	11.9	-	-	-	-	-	-	-	-	-	23.8	23.8	-	0.0%
Total Taxes	92.7	83.3	132.4	127.2	-	-	-	-	-	-	-	-	-	435.6	434.2	1.4	0.3%
Miscellaneous Receipts:																	
Abandoned Property:																	
Bottle Bill	-	-	23.0	-									-	23.0	23.0	-	0.0%
Assessments:																	
Business	9.4	8.7	10.3	11.1									-	39.5	36.0	3.5	9.7%
Fees, Licenses and Permits:																	
Business/Professional	2.6	6.3	2.3	1.9									-	13.1	10.6	2.5	23.6%
Civil	-	-	-	-									-	-	-	-	0.0%
Motor Vehicle	66.1	64.8	62.0	63.5									-	256.4	252.5	3.9	1.5%
Recreational/Consumer	0.1	0.3	0.1	0.2									-	0.7	0.6	0.1	16.7%
Fines, Penalties and Forfeitures	2.3	2.3	2.7	3.5									-	10.8	6.4	4.4	68.8%
Interest Earnings	0.2	0.1	0.2	0.1									-	0.6	0.2	0.4	200.0%
Receipts from Public Authorities:																	
Bond Proceeds	-	112.9	556.0	4.2									-	673.1	965.9	(292.8)	-30.3%
Issuance Fees	-	-	-	-									-	-	-	-	0.0%
Non Bond Related	0.1	-	0.6	-									-	0.7	2.8	(2.1)	-75.0%
Receipts from Municipalities	-	0.6	0.3	0.4									-	1.3	0.2	1.1	550.0%
Rentals	0.6	0.2	0.4	1.1									-	2.3	1.7	0.6	35.3%
Revenues of State Departments:																	
Administrative Recoveries	-	-	-	-									-	-	0.1	(0.1)	-100.0%
Gifts, Grants and Donations	2.5	1.6	0.1	0.8									-	5.0	1.1	3.9	354.5%
Indirect Cost Recoveries	-	-	-	-									-	-	-	-	0.0%
Rebates	-	-	-	-									-	-	0.2	(0.2)	-100.0%
Restitution and Settlements	-	0.5	0.5	1.7									-	2.7	1.8	0.9	50.0%
All Other	0.1	0.8	2.7	0.8									-	4.4	7.2	(2.8)	-38.9%
Sales	0.2	-	-	0.1									-	0.3	0.1	0.2	200.0%
Total Miscellaneous Receipts	84.2	199.1	661.2	89.4	-	-	-	-	-	-	-	-	-	1,033.9	1,310.4	(276.5)	-21.1%
Federal Receipts	-	-	-	-									-	-	-	-	0.0%
Total Receipts	176.9	282.4	793.6	216.6	-	-	-	-	-	-	-	-	-	1,469.5	1,744.6	(275.1)	-15.8%

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT I

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	-	0.2	0.1	7.8									-	8.1	0.6	7.5	1,250.0%
Environment and Recreation	2.7	3.9	7.2	12.3									-	26.1	22.8	3.3	14.5%
General Government	58.9	11.5	18.0	16.6									-	105.0	34.2	70.8	207.0%
Public Health:																	
Medicaid	-	-	-	-									-	-	-	-	0.0%
Other Public Health	2.7	11.5	7.4	9.8									-	31.4	22.0	9.4	42.7%
Public Safety	(1.3)	5.9	0.5	2.2									-	7.3	-	7.3	100.0%
Public Welfare	-	15.8	-	35.0									-	50.8	43.7	7.1	16.2%
Support and Regulate Business	2.7	8.3	176.8	46.0									-	233.8	235.6	(1.8)	-0.8%
Transportation	5.8	3.2	51.2	12.6									-	72.8	46.9	25.9	55.2%
Total Local Assistance Grants	71.5	60.3	261.2	142.3	-	-	-	-	-	-	-	-	-	535.3	405.8	129.5	31.9%
Departmental Operations:																	
Personal Service	-	-	-	-									-	-	-	-	0.0%
Non-Personal Service	-	-	-	-									-	-	-	-	0.0%
General State Charges	-	-	-	-									-	-	-	-	0.0%
Capital Projects	257.6	376.4	515.4	344.3									-	1,493.7	1,273.1	220.6	17.3%
Total Disbursements	329.1	436.7	776.6	486.6	-	-	-	-	-	-	-	-	-	2,029.0	1,678.9	350.1	20.9%
Excess (Deficiency) of Receipts over Disbursements	(152.2)	(154.3)	17.0	(270.0)	-	-	-	-	-	-	-	-	-	(559.5)	65.7	(625.2)	-951.6%
OTHER FINANCING SOURCES (USES):																	
Bond Proceeds (net)	-	-	-	-									-	-	-	-	0.0%
Transfers from Other Funds	162.2	183.8	138.4	362.5									-	846.9	271.8	575.1	211.6%
Transfers to Other Funds	(25.5)	(29.0)	(27.9)	(29.3)									-	(111.7)	(315.7)	(204.0)	-64.6%
Total Other Financing Sources (Uses)	136.7	154.8	110.5	333.2	-	-	-	-	-	-	-	-	-	735.2	(43.9)	779.1	1,774.7%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	$ (15.5)	$ 0.5	$ 127.5	$ 63.2	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 175.7	$ 21.8	$ 153.9	706.0%

(*) Intra-Fund transfer eliminations represent transfers from Capital Projects-Federal Funds.

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STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - FEDERAL
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT I

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:																	
Miscellaneous Receipts:																	
Abandoned Property:																	
Bottle Bill	$ -	$ -	$ -	$ -									$ -	$ -	$ -	$ -	0.0%
Assessments:																	
Business	-	-	-	-									-	-	-	-	0.0%
Fees, Licenses and Permits:																	
Business/Professional	-	-	-	-									-	-	-	-	0.0%
Civil	-	-	-	-									-	-	-	-	0.0%
Motor Vehicle	-	-	-	-									-	-	-	-	0.0%
Recreational/Consumer	-	-	-	-									-	-	-	-	0.0%
Fines, Penalties and Forfeitures	-	-	-	-									-	-	-	-	0.0%
Interest Earnings	-	-	-	-									-	-	-	-	0.0%
Receipts from Public Authorities:																	
Bond Proceeds	-	-	-	-									-	-	-	-	0.0%
Issuance Fees	-	-	-	-									-	-	-	-	0.0%
Non Bond Related	-	-	-	-									-	-	-	-	0.0%
Receipts from Municipalities	-	-	-	-									-	-	-	-	0.0%
Rentals	0.1	-	-	0.1									-	0.2	0.2	-	0.0%
Revenues of State Departments:																	
Administrative Recoveries	-	-	-	-									-	-	-	-	0.0%
Gifts, Grants and Donations	-	-	-	-									-	-	-	-	0.0%
Indirect Cost Recoveries	-	-	-	-									-	-	-	-	0.0%
Restitution and Settlements	-	-	-	-									-	-	-	-	0.0%
All Other	-	-	-	-									-	-	-	-	0.0%
Sales	0.9	-	0.1	-									-	1.0	0.1	0.9	900.0%
Total Miscellaneous Receipts	**1.0**	**-**	**0.1**	**0.1**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1.2**	**0.3**	**0.9**	**300.0%**
Federal Receipts	126.2	156.4	227.3	153.4									-	663.3	570.4	92.9	16.3%
Total Receipts	**127.2**	**156.4**	**227.4**	**153.5**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**664.5**	**570.7**	**93.8**	**16.4%**
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	-	-	-	-									-	-	-	-	0.0%
Environment and Recreation	-	-	-	-									-	-	-	-	0.0%
General Government	-	-	-	-									-	-	-	-	0.0%
Public Health:																	
Medicaid	-	-	-	-									-	-	-	-	0.0%
Other Public Health	-	-	-	-									-	-	-	-	0.0%
Public Safety	-	-	-	-									-	-	-	-	0.0%
Public Welfare	-	-	-	-									-	-	-	-	0.0%
Support and Regulate Business	-	-	-	-									-	-	-	-	0.0%
Transportation	22.0	37.2	27.7	64.7									-	151.6	118.0	33.6	28.5%
Total Local Assistance Grants	**22.0**	**37.2**	**27.7**	**64.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**151.6**	**118.0**	**33.6**	**28.5%**
Departmental Operations:																	
Personal Service	-	-	-	-									-	-	-	-	0.0%
Non-Personal Service	-	-	-	-									-	-	-	-	0.0%
General State Charges	-	-	-	-									-	-	-	-	0.0%
Capital Projects	55.9	109.5	128.2	126.4									-	420.0	461.6	(41.6)	-9.0%
Total Disbursements	**77.9**	**146.7**	**155.9**	**191.1**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**571.6**	**579.6**	**(8.0)**	**-1.4%**
Excess (Deficiency) of Receipts over Disbursements	**49.3**	**9.7**	**71.5**	**(37.6)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**92.9**	**(8.9)**	**101.8**	**1,143.8%**
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	-	-	-	-									-	-	-	-	0.0%
Transfers to Other Funds	-	-	(4.2)	(1.9)									-	(6.1)	(2.7)	(3.4)	-125.9%
Total Other Financing Sources (Uses)	**-**	**-**	**(4.2)**	**(1.9)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(6.1)**	**(2.7)**	**(3.4)**	**-125.9%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**$ 49.3**	**$ 9.7**	**$ 67.3**	**$ (39.5)**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 86.8**	**$ (11.6)**	**$ 98.4**	**848.3%**

(*) Intra-Fund transfer eliminations represent transfers to Capital Projects-State Funds.

STATE OF NEW YORK
ENTERPRISE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-17
(Amounts in millions)

EXHIBIT J

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 66.1	$ 23.0	$ 23.4	$ 24.6									$ 66.1	$ 50.6	$ 15.5	30.6%
RECEIPTS:																
Miscellaneous Receipts	4.1	4.5	5.9	4.5									19.0	20.9	(1.9)	-9.1%
Federal Receipts	1.4	1.3	1.5	1.3									5.5	8.8	(3.3)	-37.5%
Unemployment Taxes	132.0	184.1	159.6	167.8									643.5	750.2	(106.7)	-14.2%
Total Receipts	137.5	189.9	167.0	173.6	-	-	-	-	-	-	-	-	668.0	779.9	(111.9)	-14.3%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	0.4	0.1	0.4	0.2									1.1	1.7	(0.6)	-35.3%
Non-Personal Service	2.4	4.1	4.1	6.6									17.2	14.4	2.8	19.4%
General State Charges	0.2	0.1	-	-									0.3	0.1	0.2	200.0%
Unemployment Benefits	177.6	185.2	161.3	169.0									693.1	732.6	(39.5)	-5.4%
Total Disbursements	180.6	189.5	165.8	175.8	-	-	-	-	-	-	-	-	711.7	748.8	(37.1)	-5.0%
Excess (Deficiency) of Receipts over Disbursements	(43.1)	0.4	1.2	(2.2)	-	-	-	-	-	-	-	-	(43.7)	31.1	(74.8)	-240.5%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-									-	-	-	0.0%
Transfers to Other Funds	-	-	-	-									-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(43.1)	0.4	1.2	(2.2)	-	-	-	-	-	-	-	-	(43.7)	31.1	(74.8)	-240.5%
Ending Fund Balance	$ 23.0	$ 23.4	$ 24.6	$ 22.4	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 22.4	$ 81.7	$ (59.3)	-72.6%

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STATE OF NEW YORK
INTERNAL SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-17
(Amounts in millions)

EXHIBIT K

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (127.2)	$ (191.3)	$ (213.4)	$ (219.3)									$ (127.2)	$ (196.7)	$ 69.5	35.3%
RECEIPTS:																
Miscellaneous Receipts	17.5	30.1	43.1	32.9									123.6	150.2	(26.6)	-17.7%
Total Receipts	17.5	30.1	43.1	32.9	-	-	-	-	-	-	-	-	123.6	150.2	(26.6)	-17.7%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	7.4	7.2	10.4	6.9									31.9	30.5	1.4	4.6%
Non-Personal Service	79.5	41.1	36.1	20.9									177.6	144.9	32.7	22.6%
General State Charges	-	8.2	4.1	-									12.3	9.8	2.5	25.5%
Total Disbursements	86.9	56.5	50.6	27.8	-	-	-	-	-	-	-	-	221.8	185.2	36.6	19.8%
Excess (Deficiency) of Receipts over Disbursements	(69.4)	(26.4)	(7.5)	5.1	-	-	-	-	-	-	-	-	(98.2)	(35.0)	(63.2)	-180.6%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	5.3	4.3	1.8	0.8									12.2	7.5	4.7	62.7%
Transfers to Other Funds	-	-	(0.2)	-									(0.2)	(0.1)	(0.1)	-100.0%
Total Other Financing Sources (Uses)	5.3	4.3	1.6	0.8	-	-	-	-	-	-	-	-	12.0	7.4	4.8	64.9%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(64.1)	(22.1)	(5.9)	5.9	-	-	-	-	-	-	-	-	(86.2)	(27.6)	(58.4)	-211.6%
Ending Fund Balance	$ (191.3)	$ (213.4)	$ (219.3)	$ (213.4)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ (213.4)	$ (224.3)	$ 10.9	4.9%

STATE OF NEW YORK
PENSION TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-17
(Amounts in millions)

EXHIBIT L

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 0.1	$ 1.8	$ 1.0	$ (2.1)									$ 0.1	$ (16.9)	$ 17.0	100.6%
RECEIPTS:																
Miscellaneous Receipts	7.2	4.5	6.9	4.6									23.2	38.8	(15.6)	-40.2%
Total Receipts	7.2	4.5	6.9	4.6	-	-	-	-	-	-	-	-	23.2	38.8	(15.6)	-40.2%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	4.8	4.6	6.9	4.5									20.8	21.8	(1.0)	-4.6%
Non-Personal Service	0.7	0.7	1.1	1.3									3.8	3.1	0.7	22.6%
General State Charges	-	-	2.0	-									2.0	6.3	(4.3)	-68.3%
Total Disbursements	5.5	5.3	10.0	5.8	-	-	-	-	-	-	-	-	26.6	31.2	(4.6)	-14.7%
Excess (Deficiency) of Receipts over Disbursements	1.7	(0.8)	(3.1)	(1.2)	-	-	-	-	-	-	-	-	(3.4)	7.6	(11.0)	-144.7%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-									-	-	-	0.0%
Transfers to Other Funds	-	-	-	-									-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	1.7	(0.8)	(3.1)	(1.2)	-	-	-	-	-	-	-	-	(3.4)	7.6	(11.0)	-144.7%
Ending Fund Balance	$ 1.8	$ 1.0	$ (2.1)	$ (3.3)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ (3.3)	$ (9.3)	$ 6.0	64.5%

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STATE OF NEW YORK
PRIVATE PURPOSE TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-17
(Amounts in millions)

EXHIBIT M

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31: 2016	2015	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 11.6	$ 10.0	$ 11.7	$ 10.2									$ 11.6	$ 11.5	$ 0.1	0.9%
RECEIPTS:																
Miscellaneous Receipts	(1.5)	1.7	(1.5)	-									(1.3)	(0.1)	(1.2)	-1,200.0%
Total Receipts	(1.5)	1.7	(1.5)	-	-	-	-	-	-	-	-	-	(1.3)	(0.1)	(1.2)	-1,200.0%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	0.1	-	-	-									0.1	0.2	(0.1)	-50.0%
Non-Personal Service	-	-	-	-									-	-	-	0.0%
General State Charges	-	-	-	-									-	-	-	0.0%
Total Disbursements	0.1	-	-	-	-	-	-	-	-	-	-	-	0.1	0.2	(0.1)	-50.0%
Excess (Deficiency) of Receipts over Disbursements	(1.6)	1.7	(1.5)	-	-	-	-	-	-	-	-	-	(1.4)	(0.3)	(1.1)	-366.7%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-									-	-	-	0.0%
Transfers to Other Funds	-	-	-	-									-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(1.6)	1.7	(1.5)	-	-	-	-	-	-	-	-	-	(1.4)	(0.3)	(1.1)	-366.7%
Ending Fund Balance	$ 10.0	$ 11.7	$ 10.2	$ 10.2	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 10.2	$ 11.2	$ (1.0)	-8.9%

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FOR THE MONTH OF JULY 2016
(Amounts in millions)

SCHEDULE 1

	BALANCE JULY 1, 2016	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JULY 31, 2016
GENERAL FUND					
10000-10049-Local Assistance Account	$ -	$ 2.574	$ 1,883.616	$ 1,881.042	$ -
10050-10099-State Operations Account	7,148.612	2,708.034	999.931	(2,152.275)	6,704.440
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	61.556	-	0.684	-	60.872
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	10.888	10.888	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
TOTAL GENERAL FUND	7,210.168	2,721.496	2,895.119	(271.233)	6,765.312
SPECIAL REVENUE FUNDS-STATE					
20000-20099-Mental Health Gifts and Donations	2.240	0.002	0.006	-	2.236
20100-20299-Combined Expendable Trust	65.730	0.353	0.490	-	65.593
20300-20349-New York Interest on Lawyer Account	41.893	1.163	0.858	-	42.198
20350-20399-NYS Archives Partnership Trust	0.355	-	0.031	-	0.324
20400-20449-Child Performer's Protection	0.282	0.011	0.018	-	0.275
20450-20499-Tuition Reimbursement	6.033	0.285	0.235	-	6.083
20500-20549-New York State Local Government Records Management Improvement	3.753	0.719	0.150	-	4.322
20550-20599-School Tax Relief	4.216	-	(0.397)	-	4.613
20600-20649-Charter Schools Stimulus	4.005	0.001	0.160	-	3.846
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	252.200	509.511	625.913	(0.127)	135.671
20850-20899-Dedicated Mass Transportation Trust	71.012	62.023	57.522	-	75.513
20900-20949-State Lottery	756.606	277.538	8.220	-	1,025.924
20950-20999-Combined Student Loan	15.976	2.434	0.237	-	18.173
21000-21049-Sewage Treatment Program Mgmt. & Administration	(3.938)	-	0.138	-	(4.076)
21050-21149-Encon Special Revenue	(24.212)	8.129	4.818	-	(20.901)
21150-21199-Conservation	73.778	2.583	3.263	-	73.098
21200-21249-Environmental Protection and Oil Spill Compensation	34.547	3.093	1.422	(2.973)	33.245
21250-21299-Training and Education Program on OSHA	12.860	0.002	2.700	-	10.162
21300-21349-Lawyers' Fund for Client Protection	5.255	0.347	3.195	-	2.407
21350-21399-Equipment Loan for the Disabled	0.524	0.004	0.010	-	0.518
21400-21449-Mass Transportation Operating Assistance	268.689	98.346	149.885	0.031	217.181
21450-21499-Clean Air	(20.037)	3.237	1.720	-	(18.520)
21500-21549-New York State Infrastructure Trust	0.067	-	-	-	0.067
21550-21599-Legislative Computer Services	10.962	0.069	0.088	-	10.943
21600-21649-Biodiversity Stewardship and Research	-	-	-	-	-
21650-21699-Combined Non-Expendable Trust	0.457	-	-	-	0.457
21700-21749-Winter Sports Education Trust	-	-	-	-	-
21750-21799-Musical Instrument Revolving	0.001	-	-	-	0.001
21850-21899-Arts Capital Revolving	0.834	0.002	-	-	0.836
21900-22499-Miscellaneous State Special Revenue	1,320.271	194.493	520.013	783.657	1,778.408

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STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FOR THE MONTH OF JULY 2016
(Amounts in millions)

SCHEDULE 1

	BALANCE JULY 1, 2016	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JULY 31, 2016
SPECIAL REVENUE FUNDS-STATE (CONTINUED)					
22500-22549-Court Facilities Incentive Aid	51.420	0.021	6.211	-	45.230
22550-22599-Employment Training	0.049	0.001	-	-	0.050
22650-22699-State University Income	1,218.577	236.663	409.279	213.259	1,259.220
22700-22749-Chemical Dependence Service	38.000	1.423	0.212	-	39.211
22750-22799-Lake George Park Trust	0.633	-	0.092	-	0.541
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	51.287	12.825	0.305	-	63.807
22850-22899-New York Great Lakes Protection	0.459	-	-	-	0.459
22900-22949-Federal Revenue Maximization	0.023	-	-	-	0.023
22950-22999-Housing Development	9.804	0.007	0.054	-	9.757
23000-23049-NYS/DOT Highway Safety Program	(8.337)	0.166	0.246	-	(8.417)
23050-23099-Vocational Rehabilitation	0.137	0.004	-	-	0.141
23100-23149-Drinking Water Program Management and Administration	(5.984)	-	-	-	(5.984)
23150-23199-NYC County Clerks' Operations Offset	(32.063)	-	2.287	-	(34.350)
23200-23249-Judiciary Data Processing Offset	2.477	1.552	1.865	-	2.164
23250-23449-IFR/CUTRA	161.863	10.289	8.104	-	164.048
23500-23549-USOC Lake Placid Training	0.073	0.002	-	-	0.075
23550-23599-Indigent Legal Services	169.641	4.557	1.608	-	172.590
23600-23649-Unemployment Insurance Interest and Penalty	22.308	1.540	0.158	-	23.690
23650-23699-MTA Financial Assistance Fund	76.808	122.668	100.588	2.229	101.117
23700-23749-New York State Commercial Gaming Fund	115.659	-	0.052	-	115.607
23750-23799-Medical Marihuana Trust Fund	1.745	0.036	0.284	-	1.497
23800-23899-Dedicated Miscellaneous State Special Revenue	-	-	-	-	-
40350-40399-State University Dormitory Income	194.014	(16.225)	-	(17.663)	160.126
TOTAL SPECIAL REVENUE FUNDS-STATE	4,972.952	1,539.874	1,912.040	978.413	5,579.199
SPECIAL REVENUE FUNDS-FEDERAL					
25000-25099-Federal USDA/Food and Consumer Services	10.300	184.659	185.108	(0.901)	8.950
25100-25199-Federal Health and Human Services	412.797	3,065.646	3,280.721	(129.003)	68.719
25200-25249-Federal Education	(5.737)	89.880	94.020	(0.040)	(9.917)
25300-25899-Federal Miscellaneous Operating Grants	(179.429)	137.845	134.780	-	(176.364)
25900-25949-Unemployment Insurance Administration	88.943	16.381	15.628	-	89.696
25950-25999-Unemployment Insurance Occupational Training	1.283	0.500	0.427	-	1.356
26000-26049-Federal Employment and Training Grants	(4.829)	11.103	13.049	-	(6.775)
TOTAL SPECIAL REVENUE FUNDS-FEDERAL	323.328	3,506.014	3,723.733	(129.944)	(24.335)
TOTAL SPECIAL REVENUE FUNDS	5,296.280	5,045.888	5,635.773	848.469	5,554.864
DEBT SERVICE FUNDS					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	182.634	125.561	0.253	(67.919)	240.023
40150-40199-General Debt Service	159.350	896.196	39.404	(478.726)	537.416
40250-40299-State Housing Debt Service	-	-	-	-	-
40300-40349-Department of Health Income	21.625	12.753	-	(12.454)	21.924
40400-40449-Clean Water/Clean Air	0.149	101.927	-	(96.306)	5.770
40450-40499-Local Government Assistance Tax	2.162	254.169	0.120	(253.991)	2.220
TOTAL DEBT SERVICE FUNDS	365.920	1,390.606	39.777	(909.396)	807.353

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FOR THE MONTH OF JULY 2016
(Amounts in millions)

SCHEDULE 1

	BALANCE JULY 1, 2016	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JULY 31, 2016
CAPITAL PROJECTS FUNDS					
30000-30049-State Capital Projects	-	0.776	215.438	214.662	-
30050-30099-Dedicated Highway and Bridge Trust	113.409	193.817	127.669	(25.110)	154.447
30100-30299-SUNY Residence Halls Rehabilitation and Repair	140.175	0.047	3.843	-	136.379
30300-30349-New York State Canal System Development	4.815	0.184	0.292	-	4.707
30350-30399-Parks Infrastructure	(118.544)	0.013	5.914	-	(124.445)
30400-30449-Passenger Facility Charge	0.014	-	-	-	0.014
30450-30499-Environmental Protection	98.391	13.096	12.278	-	99.209
30500-30549-Clean Water/Clean Air Implementation	-	-	-	-	-
30600-30609-Energy Conservation Thru Improved Transportation Bond	0.164	-	-	-	0.164
30610-30619-Park and Recreation Land Acquisition Bond	-	-	-	-	-
30620-30629-Pure Waters Bond	0.668	-	-	-	0.668
30630-30639-Transportation Capital Facilities Bond	3.328	-	-	-	3.328
30640-30649-Environmental Quality Protection Bond	1.451	-	-	-	1.451
30650-30659-Rebuild and Renew New York Transportation Bond	26.007	-	-	(0.301)	25.706
30660-30669-Transportation Infrastructure Renewal Bond	4.255	-	-	-	4.255
30670-30679-1986 Environmental Quality Bond Act	5.576	-	-	-	5.576
30680-30689-Accelerated Capacity and Transportation Improvement Bond	2.778	-	-	-	2.778
30690-30699-Clean Water/Clean Air Bond	5.146	-	-	(0.079)	5.067
30700-30709-State Housing Bond	-	-	-	-	-
30710-30719-Smart Schools Bond	-	-	-	-	-
30750-30799-Outdoor Recreation Development Bond	-	-	-	-	-
30900-30949-Rail Preservation and Development Bond	-	-	-	-	-
31350-31449-Federal Capital Projects	(432.988)	153.517	191.129	(1.921)	(472.521)
31450-31499-Forest Preserve Expansion	0.901	-	-	-	0.901
31500-31549-Hazardous Waste Remedial	(153.517)	2.058	9.021	3.735	(156.745)
31650-31699-Suburban Transportation	0.508	-	-	-	0.508
31700-31749-Division for Youth Facilities Improvement	(7.778)	-	1.729	-	(9.507)
31800-31849-Housing Assistance	(10.816)	-	2.815	-	(13.631)
31850-31899-Housing Program	(159.390)	-	32.198	-	(191.588)
31900-31949-Natural Resource Damage	16.120	0.104	0.575	-	15.649
31950-31999-DOT Engineering Services	(12.646)	-	0.015	-	(12.661)
32200-32249-Miscellaneous Capital Projects	34.931	0.828	1.298	2.500	36.961
32250-32299-CUNY Capital Projects	(0.024)	-	-	-	(0.024)
32300-32349-Mental Hygiene Facilities Capital Improvement	(441.264)	4.194	10.939	-	(448.009)
32350-32399-Correction Facilities Capital Improvement	(44.180)	-	22.262	-	(66.442)
32400-32999-State University Capital Projects	170.770	1.497	10.070	12.850	175.047
33000-33049-NYS Storm Recovery Fund	(55.560)	-	(4.483)	-	(51.077)
33050-33099 Dedicated Infrastructure Investment Fund	155.296	-	34.701	125.000	245.595
TOTAL CAPITAL PROJECTS FUNDS	(652.004)	370.131	677.703	331.336	(628.240)
TOTAL GOVERNMENTAL FUNDS	$ 12,220.364	$ 9,528.121	$ 9,248.372	$ (0.824)	$ 12,499.289

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SCHEDULE 2

STATE OF NEW YORK
PROPRIETARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FOR THE MONTH OF JULY 2016
(Amounts in millions)

FUND TYPE	BALANCE JULY 1, 2016	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JULY 31, 2016
ENTERPRISE FUNDS					
50000-50049-Youth Commissary	$ 0.156	$ 0.004	$ 0.007	$ -	$ 0.153
50050-50099-State Exposition Special	2.708	0.813	3.364	-	0.157
50100-50299-Correctional Services Commissary	3.104	3.064	3.050	-	3.118
50300-50399-Agencies Enterprise	3.232	0.438	0.193	-	3.477
50400-50449-Sheltered Workshop	2.049	0.030	0.032	-	2.047
50450-50499-Patient Workshop	1.806	0.022	0.060	-	1.768
50500-50599-Mental Hygiene Community Stores	4.223	0.097	0.088	-	4.232
50650-50699-Unemployment Insurance Benefit	7.359	169.070	169.001	-	7.428
TOTAL ENTERPRISE FUNDS	**24.637**	**173.538**	**175.795**	**-**	**22.380**
INTERNAL SERVICE FUNDS					
55000-55049-Centralized Services	(35.519)	21.290	19.358	(0.265)	(33.852)
55050-55099-Agency Internal Service	(139.194)	7.040	2.664	1.480	(133.338)
55100-55149-Mental Hygiene Revolving	0.238	0.147	0.047	-	0.338
55150-55199-Youth Vocational Education	0.056	-	-	-	0.056
55200-55249-Joint Labor and Management Administration	1.152	-	0.045	-	1.107
55250-55299-Audit and Control Revolving	(5.336)	0.003	1.372	-	(6.705)
55300-55349-Health Insurance Revolving	(15.673)	0.194	0.829	(0.391)	(16.699)
55350-55399-Correctional Industries Revolving	(25.003)	4.205	3.485	-	(24.283)
TOTAL INTERNAL SERVICE FUNDS	**(219.279)**	**32.879**	**27.800**	**0.824**	**(213.376)**
TOTAL PROPRIETARY FUNDS	**$ (194.642)**	**$ 206.417**	**$ 203.595**	**$ 0.824**	**$ (190.996)**

STATE OF NEW YORK
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FOR THE MONTH OF JULY 2016
(Amounts in millions)

SCHEDULE 3

FUND TYPE	BALANCE JULY 1, 2016	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JULY 31, 2016
PENSION TRUST FUNDS					
65000-65049-Common Retirement Administration	$ (2.098)	$ 4.605	$ 5.815	$ -	$ (3.308)
TOTAL PENSION TRUST FUNDS	**(2.098)**	**4.605**	**5.815**	**-**	**(3.308)**
PRIVATE PURPOSE TRUST FUNDS					
66000-66049-Agriculture Producers' Security	2.500	0.001	0.007	-	2.494
66050-66099-Milk Producers' Security	7.652	0.053	0.008	-	7.697
TOTAL PRIVATE PURPOSE TRUST FUNDS	**10.152**	**0.054**	**0.015**	**-**	**10.191**
AGENCY FUNDS					
60050-60149-School Capital Facilities Financing Reserve	15.069	5.071	-	-	20.140
60150-60199-Child Performer's Holding	0.453	0.006	0.023	-	0.436
60200-60249-Employees Health Insurance	737.798	667.958	735.834	-	669.922
60250-60299-Social Security Contribution	14.947	90.182	90.173	-	14.956
60300-60399-Employee Payroll Withholding	56.615	349.078	370.157	-	35.536
60400-60449-Employees Dental Insurance	10.213	5.651	5.685	-	10.179
60450-60499-Management Confidential Group Insurance	0.668	0.831	0.830	-	0.669
60500-60549-Lottery Prize	498.713	92.913	192.348	-	399.278
60550-60599-Health Insurance Reserve Receipts	0.120	-	-	-	0.120
60600-60799-Miscellaneous New York State Agency	1,535.115	(9.096)	35.623	-	1,490.396
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	23.742	9.301	-	-	33.043
60850-60899-CUNY Senior College Operating	104.792	155.000	141.592	-	118.200
60900-60949-Medicaid Management Information System (MMIS) Escrow	196.883	5,791.691	5,558.728	-	429.846
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collection	60.688	129.558	-	-	190.246
61100-61999-State University Federal Direct Lending Program	(1.310)	19.857	24.174	-	(5.627)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
TOTAL AGENCY FUNDS	**3,254.506**	**7,308.001**	**7,155.167**	**-**	**3,407.340**
TOTAL FIDUCIARY FUNDS	**$ 3,262.560**	**$ 7,312.660**	**$ 7,160.997**	**$ -**	**$ 3,414.223**

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STATE OF NEW YORK
SOLE CUSTODY AND INVESTMENT ACCOUNTS
STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
FOR THE MONTH OF JULY 2016
(Amounts in millions)

SCHEDULE 4

FUND TYPE	BALANCE JULY 1, 2016	RECEIPTS	DISBURSEMENTS	BALANCE JULY 31, 2016
ACCOUNTS				
70000-70049-Tobacco Settlement	$ 2.719	$ 0.001	$ -	$ 2.720
70050-70149-Sole Custody Investment (*)	1,637.772	6,488.571	6,319.935	1,806.408
70200-Comptroller's Refund	-	130.956	130.956	-
TOTAL ACCOUNTS	**$ 1,640.491**	**$ 6,619.528**	**$ 6,450.891**	**$ 1,809.128**

(*) Includes Public Asset Fund resources

Chapter 1 of the Laws of 2002 authorized the conversion of Empire Health Choice, d/b/a Empire Blue Cross and Blue Shield from a not-for-profit corporation to a for-profit corporation. Chapter 1 requires, in part, that upon such conversion, assets representing 95 percent of the fair market value of the not-for-profit corporation be transferred to a fund designated as the "Public Asset Fund" and 5 percent transferred to a Charitable Foundation - as set forth in Section 7317 of the Insurance Law. On December 28, 2005, WellChoice, Inc. (previously known as Empire Blue Cross, Blue Shield) approved a takeover by WellPoint, Inc. This conversion was also subject to the same Chapter 1 requirements of assigning assets representing 95 percent of the fair market value of the not-for-profit corporation be transferred to the "Public Asset Fund".

As of July 31, 2016, $8,986,255.59 (representing the remaining balance of the State's 95 percent share of the fair market value of the not-for-profit corporation plus interest) is on deposit in the sole custody account titled Public Asset Fund. In accordance with Section 4301(j)(4)(F) and (O) of the Insurance Law and at the direction of the Director of the Budget, these funds are available for transfer to HCRA Resources Fund (20800-20849).

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF DIRECT STATE DEBT ACTIVITY
FISCAL YEAR ENDED MARCH 31, 2017

SCHEDULE 5

PURPOSE	DEBT OUTSTANDING APR. 1, 2016	DEBT ISSUED MONTH OF JULY	DEBT ISSUED 4 MONTHS ENDED JULY 31, 2016	DEBT MATURED MONTH OF JULY	DEBT MATURED 4 MONTHS ENDED JULY 31, 2016	DEBT OUTSTANDING JULY 31, 2016	INTEREST DISBURSED MONTH OF JULY	INTEREST DISBURSED 4 MONTHS ENDED JULY 31, 2016
GENERAL OBLIGATION BONDED DEBT:								
Accelerated Capacity and Transportation Improvements	$ 106,955,627.05	$ -	$ -	$ -	$ 39,550,487.04	$ 67,405,140.01	$ 4,615.20	$ 2,029,651.09
Clean Water/Clean Air:								
Air Quality	3,010,952.09	-	-	-	142,894.15	2,868,057.94	2,211.72	17,436.15
Safe Drinking Water	-	-	-	-	-	-	-	-
Water	402,544,044.61	-	-	-	11,662,595.73	390,881,448.88	185,787.85	2,551,341.74
Solid Waste	37,125,908.42	-	-	-	1,749,960.93	35,375,947.49	8,921.01	264,662.10
Environmental Restoration	79,264,390.55	-	-	-	150,000.00	79,114,390.55	254,034.90	285,307.86
Energy Conservation Through Improved Transportation:								
Rapid Transit and Rail Freight	2,574,158.76	-	-	-	466,630.73	2,107,528.03	-	46,992.96
Environmental Quality (1972):								
Air	494,853.29	-	-	-	160,000.00	334,853.29	-	12,000.00
Land and Wetlands	6,671,868.18	-	-	-	2,303,107.56	4,368,760.62	4,652.24	81,079.65
Water	29,701,680.75	-	-	-	7,157,062.80	22,544,617.95	-	365,731.79
Environmental Quality (1986):								
Land Acquisition/Development/Restoration/Forests	15,489,192.93	-	-	-	2,346,200.74	13,142,992.19	3,647.08	172,498.15
Solid Waste Management	179,135,421.94	-	-	-	6,579,393.52	172,556,028.42	162,509.52	1,692,837.29
Housing:								
Low Cost	16,120,000.00	-	-	-	800,000.00	15,320,000.00	-	235,200.00
Middle Income	13,975,000.00	-	-	-	-	13,975,000.00	-	-
Park and Recreation Land Acquisition	6,351.45	-	-	-	-	6,351.45	-	-
Pure Waters	31,246,366.40	-	-	-	4,380,555.71	26,865,810.69	36,880.56	386,330.01
Rail Preservation Development	297,438.64	-	-	-	297,438.64	-	-	7,867.25
Rebuild and Renew New York Transportation:								
Highway Facilities	802,029,290.37	-	-	-	-	802,029,290.37	1,822,657.27	1,822,657.27
Canals and Waterways	15,019,108.04	-	-	-	-	15,019,108.04	70,950.81	70,950.81
Aviation	48,703,092.50	-	-	-	-	48,703,092.50	-	-
Rail and Port	79,651,413.07	-	-	-	-	79,651,413.07	-	-
Mass Transit - Dept. of Transportation	6,268,331.08	-	-	-	-	6,268,331.08	-	-
Mass Transit - Metropolitan Transportation Authority	838,086,893.13	-	-	-	-	838,086,893.13	3,337,307.63	3,337,307.63
Rebuild New York-Transportation Infrastructure Renewal:								
Highways, Parkways, and Bridges	1,427,346.08	-	-	-	-	1,427,346.08	2,324.39	2,324.39
Rapid Transit, Rail and Aviation	5,775,985.38	-	-	-	1,304,038.11	4,471,947.27	-	115,202.34
Transportation Capital Facilities:								
Aviation	5,846,614.98	-	-	-	1,455,964.57	4,390,650.41	-	99,373.06
Mass Transportation	38,669.77	-	-	-	38,669.77	-	-	996.40
Total General Obligation Bonded Debt	**$ 2,727,459,999.46**	**$ -**	**$ -**	**$ -**	**$ 80,545,000.00**	**$ 2,646,914,999.46**	**$ 5,896,500.18**	**$ 13,597,747.94**

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STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE FOUR MONTHS ENDED JULY 31, 2016

SCHEDULE 5a

Special Contractual Financing Obligations:	DEBT REDUCTION RESERVE (40000-40049)	GENERAL DEBT SERVICE (40151)	DEPARTMENT OF HEALTH INCOME (40300-40349)	LOCAL GOVERNMENT ASSISTANCE TAX (40450-40499)	MENTAL HEALTH SERVICES (40100-40149)	REVENUE BOND TAX (40152)	SALES TAX REVENUE BOND TAX (40154)	COMBINED TOTALS 4 MONTHS ENDED JULY 31 2016	2015	$ INCREASE/ (DECREASE)
Payments to Public Authorities:										
City University Construction	$ -	$ 123,671,732	$ -	$ -	$ -	$ -	$ -	$ 123,671,732	$ 166,518,520	$ (42,846,788)
Dormitory Authority:										
Albany County Airport	-	-	-	-	-	-	-	-	-	-
Consolidated Service Contract Refunding	-	-	-	-	-	-	-	-	-	-
DASNY Revenue Bond	-	-	-	-	-	-	-	-	-	-
David Axelrod Institute	-	-	-	-	-	-	-	-	-	-
Department of Health Facilities	-	-	14,206,759	-	-	-	-	14,206,759	14,100,513	106,246
Economic Development Housing	-	-	-	-	-	-	-	-	-	-
Education	-	-	-	-	-	-	-	-	-	-
General Purpose	-	-	-	-	-	-	-	-	-	-
Health Care	-	-	-	-	-	-	-	-	-	-
Mental Health Facilities	-	-	-	-	1	-	-	1	-	1
OGS Parking	-	-	-	-	-	-	-	-	-	-
Sales Tax Revenue Bond	-	-	-	-	-	-	-	-	-	-
Secured Hospital Program	-	-	-	-	-	-	-	-	-	-
State Department of Education Facilities	-	-	-	-	-	-	-	-	-	-
State Facilities and Equipment	-	-	-	-	-	-	-	-	-	-
SUNY Community Colleges	-	-	-	-	-	-	-	-	-	-
SUNY Educational Facilities	-	-	-	-	-	-	-	-	-	-
Environmental Facilities Corporation	-	-	-	-	-	7,391,891	-	7,391,891	13,224,924	(5,833,033)
Housing Finance Agency	-	-	-	-	-	-	-	-	-	-
Local Government Assistance Corporation	-	-	-	119,795	-	-	-	119,795	-	119,795
Metropolitan Transportation Authority:										
Transit and Commuter Rail Projects	-	42,043,432	-	-	-	-	-	42,043,432	42,041,932	1,500
Thruway Authority:										
Dedicated Highway and Bridge	-	100,341,348	-	-	-	-	-	100,341,348	306,348,764	(206,007,416)
Local Highway and Bridge	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-
Urban Development Corporation:										
Center for Industrial Innovation at RPI	-	-	-	-	-	-	-	-	-	-
Clarkson University	-	-	-	-	-	-	-	-	-	-
Columbia Univer. Telecommunications Center	-	-	-	-	-	-	-	-	-	-
Community Enhancement Facilities Program	-	-	-	-	-	-	-	-	-	-
Consolidated Service Contract Refunding	-	-	-	-	-	-	-	-	-	-
Cornell Univer. Supercomputer Center	-	-	-	-	-	-	-	-	-	-
Correctional Facilities	-	-	-	-	-	-	-	-	-	-
Debt Reduction Reserve	-	-	-	-	-	-	-	-	-	-
Economic Development Housing	-	-	-	-	-	-	-	-	-	-
General Purpose	-	-	-	-	-	-	-	-	-	-
State Facilities and Equipment	-	-	-	-	-	-	-	-	-	-
Syracuse University Science and Technology Center	-	-	-	-	-	-	-	-	-	-
UDC Revenue Bond	-	-	-	-	-	9,505,626	-	9,505,626	28,577,186	(19,071,560)
University Facilities Grant 95 Refunding	-	-	-	-	-	-	-	-	-	-
Total Disbursements for Special Contractual Financing Obligations	$ -	$ 266,056,512	$ 14,206,759	$ 119,795	$ 1	$ 16,897,517	$ -	$ 297,280,584	$ 570,811,839	$ (273,531,255)

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STATE OF NEW YORK **SCHEDULE 6**
SUMMARY OF THE OPERATING FUND INVESTMENTS
FOR THE MONTH OF JULY 2016
AS REQUIRED OF THE STATE COMPTROLLER
(Amounts in millions)

	JULY 2016	FISCAL YEAR TO DATE	PRIOR FISCAL YEAR TO DATE JULY 2015
SHORT TERM INVESTMENT POOL (*)			
AVERAGE DAILY INVESTMENT BALANCE (**)	$ 12,192.2	$ 13,071.2	$ 13,557.6
AVERAGE YIELD (**)	0.491%	0.470%	0.115%
TOTAL INVESTMENT EARNINGS	$ 4.889	$ 19.829	$ 5.311

Month-End Portfolio Balances

DESCRIPTION	JULY 2016 PAR AMOUNT	JULY 2015 PAR AMOUNT
GOVT. AGENCY BILLS/NOTES	$ 341.0	$ 900.0
REPURCHASE AGREEMENTS	34.0	26.7
COMMERCIAL PAPER	10,235.6	11,515.3
CERTIFICATES OF DEPOSIT/SAVINGS	1,733.0	1,469.4
0% COMPENSATING BALANCE CDs	5,220.0	5,155.0
	$ 17,563.6	**$ 19,066.4**

(*) Pursuant to §98 of the State Finance Law, the State Comptroller is authorized to invest and keep invested all moneys, in any fund, held by the State. The Short Term investment Pool (STIP) represents an accounting mechanism that allows for the separate accounting of individual funds (on deposit in the State's General Checking account) for the purpose of making short term investments. Pursuant to State Finance Law §4(5) the STIP is authorized to temporarily loan to the General Fund-State Operations Account (10050) funds for a period of four months or the end of the fiscal year, whichever is shorter. However, it must be noted that certain funds are invested as part of STIP, but are held by the State Comptroller in a fiduciary capacity. Fiduciary fund balances are restricted and may not be used for any State purposes since moneys in such funds are held by the State in a trustee (or fiduciary) capacity or as an agent for individuals, private organizations, or non-State governmental units (e.g. local governments and public authorities). Therefore, Fiduciary fund balances are not available to be temporarily loaned to the General Fund-State Operations Account. Fiduciary fund balances are presented in Schedules 3 and 4 of this report.

(**) Does not include 0% Compensating Balance CDs.

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF RECEIPTS AND DISBURSEMENTS BY ACCOUNT
FISCAL YEAR 2016-17

APPENDIX A

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31, 2016
OPENING CASH BALANCE	$ 77,568,773	$ 174,881,047	$ 150,252,706	$ 252,199,769									$ 77,568,773
RECEIPTS:													
Cigarette Tax	69,906,681	70,465,929	86,962,921	74,545,709									301,881,240
State Share of NYC Cigarette Tax	2,868,000	2,696,000	3,730,000	3,008,000									12,302,000
STIP Interest	157,862	85,296	108,226	165,893									517,277
Public Asset Transfers	-	-	-	-									-
Assessments	360,143,517	426,849,020	432,946,966	417,613,538									1,637,553,041
Fees	466,000	1,000,000	2,485,086	384,000									4,335,086
Rebates	2,758,000	2,854,691	970,588	13,794,356									20,377,635
Restitution and Settlements	-	-	-	-									-
Miscellaneous	-	1,669	51	-									1,720
Total Receipts	436,300,060	503,952,605	527,203,838	509,511,496	-	-	-	-	-	-	-	-	1,976,967,999
DISBURSEMENTS:													
Grants	321,080,063	525,480,383	418,899,454	624,008,882									1,889,468,782
Interest - Late Payments	2,682	597	308	(1,371)									2,216
Personal Service	471,992	841,268	1,134,203	871,453									3,318,916
Non-Personal Service	955,757	1,058,414	3,755,806	1,034,274									6,804,251
Employee Benefits/Indirect Costs	-	764,454	787,216	-									1,551,670
Total Disbursements	322,510,494	528,145,116	424,576,987	625,913,238	-	-	-	-	-	-	-	-	1,901,145,835
OPERATING TRANSFERS:													
Transfers to Capital Projects Fund	-	-	-	-									-
Transfers to General Fund	-	-	17,526	-									17,526
Transfers to Revenue Bond Tax Fund	-	-	-	-									-
Transfers to Miscellaneous Special Revenue Fund:													
Administration Program Account	-	-	-	-									-
Empire State Stem Cell Trust Account	15,148,000	-	-	-									15,148,000
Transfers to SUNY Income Fund	1,329,292	435,830	662,262	126,785									2,554,169
Total Operating Transfers	16,477,292	435,830	679,788	126,785	-	-	-	-	-	-	-	-	17,719,695
Total Disbursements and Transfers	338,987,786	528,580,946	425,256,775	626,040,023	-	-	-	-	-	-	-	-	1,918,865,530
CLOSING CASH BALANCE	$ 174,881,047	$ 150,252,706	$ 252,199,769	$ 135,671,242	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 135,671,242

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2016-2017

APPENDIX B

Program/Purpose	Appropriation Amount (*)	April	May	June	July	4 Months Ended July 31, 2016 (**)
AUDIT, COLLECTION, AND ENFORCEMENT PROGRAM	**$ 4,095,000**					
CIGARETTE STRIKE TASK FORCE		$ 142,518	$ 153,039	$ 32,838	$ -	$ 328,395
CENTER FOR COMMUNITY HEALTH PROGRAM	**144,408,082**					
ADEPHI UNIVRST CANC SPRT PRG		-	-	-	-	-
BRST CANCER HOTLINE - ADELPHI		-	-	-	-	-
CENTER FOR COMMUNITY HLTH		149,428	370,704	237,229	163,909	921,270
EVIDENCE BASED CANCER SVC		-	-	-	-	-
FAMILY PLANNING		-	-	-	-	-
HYPERTENSION PREVENTION TREATMENT		-	-	-	-	-
INDIAN HEALTH PROGRAM		-	-	-	-	-
LEAD POISONING PREVENTION		-	-	-	-	-
MATERNITY AND EARLY CHHOOD FOUNDATION		-	-	-	-	-
NUTRITION SERVICES/EDUC - PREG WOMEN, CHILDREN		-	-	-	-	-
PRENATAL CARE ASSISTANCE PROGRAM		-	-	-	-	-
PUBLIC HEALTH CAMPAIGN		-	-	-	-	-
RAPE CRISIS		-	-	-	-	-
SCHOOL BASED HEALTH PROGRAM		-	-	-	-	-
STATE AID PHYSICALLY HANICAPPED CHILDREN REHAB		-	-	-	-	-
TOBACCO ENFORCEMENT		-	-	-	-	-
TUBERCULOSIS		-	-	-	-	-
CHILD HEALTH INSURANCE PROGRAM	**992,662,000**					
CHILD HEALTH INSURANCE		16,852,573	14,999,026	9,730,337	15,540,089	57,122,025
COMMUNITY SUPPORT PROGRAM	**225,000**					
COMMUNITY SUPPORT		-	15,000	-	-	15,000
ELDERLY PHARMACEUTICAL INS COVERAGE PRG	**283,964,000**					
ELDERLY PHARMACEUTICAL INSURANCE COVERAGE		3,416,672	10,156,170	13,289,376	12,830,063	39,692,281
HEALTH CARE REFORM ACT PROGRAM	**1,656,797,714**					
AIDS DRUG ASSISTANCE		-	-	-	-	-
AMBULATORY CARE TRAINING		5,729	26,933	7,116	396,594	436,372
AREA HEALTH EDUCATION CENTER		-	-	-	-	-
COMMISSIONER EMERGENCY DISTRIBUTIONS		-	-	-	-	-
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CARE		-	177,715	31,240	-	208,955
DIVERSITY IN MEDICINE		-	-	-	-	-
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP)		-	-	-	-	-
HCRA PAYOR/PROVIDER AUDITS		-	-	-	-	-
HEALTH FACILITY RESTRUCTURING DASNY		19,600,000	-	-	-	19,600,000
HEALTH WORKFORCE RETRAINING		16,864	352,872	512,002	163,090	1,044,828
INFERTILITY SERVICES GRANTS		78,841	42,344	96,408	312,788	530,381
MEDICAL INDEMNITY FUND		-	-	-	-	-
PART 405.4 HOSPITAL AUDITS		-	-	-	-	-
PART 405.4 HOSPITAL AUDITS NYCRR		-	259,292	97,016	-	356,308
PAY FOR PERFORMANCE		-	-	-	-	-
PHYSICIAN EXCESS MEDICAL MALPRACTICE		-	-	112,400,000	-	112,400,000
PHYSICIAN LOAN REPAYMENT		-	-	312,030	300,284	612,314
PHYSICIAN PRACTICE SUPPORT		-	-	-	100,208	100,208
PHYSICIAN WORKFORCE STUDIES		-	-	-	179,139	179,139
POISON CONTROL CENTERS		-	-	-	-	-
POOL ADMINISTRATION		207,340	203,422	264,325	203,538	878,625

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2016-2017

APPENDIX B

Program/Purpose	Appropriation Amount (*)	April	May	June	July	4 Months Ended July 31, 2016 (**)
ROSWELL PARK CANCER INSTITUTE		21,777,000	-	-	21,777,000	43,554,000
RPCI CANC RSRCH OPERATING COSTS		-	-	-	-	-
RURAL HEALTH CARE ACCESS		47,950	1,377,101	316,640	784,781	2,526,472
RURAL HEALTH NETWORK		232,207	1,106,419	61,638	310,692	1,710,956
SCHOOL BASED HEALTH CENTERS		-	-	-	-	-
SCHOOL BASED HEALTH CLINICS-POOL ADMN		-	-	-	-	-
TOBACCO USE PREVENTION/CONTROL		-	-	-	-	-
TRANSITION ACCT - PRIOR YEAR ALLOCATION		-	-	-	-	-
MEDICAL ASSISTANCE PROGRAM	**26,993,428,000**					
BREAST AND CERVICAL CANCER		-	-	-	-	-
DISABLED PERSONS		-	-	-	-	-
FAMILY HEALTH PLUS		-	-	-	-	-
FINANCIAL ASSISTANCE		-	-	-	-	-
HOME HEALTH RATE INCREASE		-	-	-	-	-
INPATIENT NURSING HOME PHARMACIES		-	-	-	-	-
MEDICAID INDIGENT CARE		-	142,946,179	35,950,000	156,060,320	334,956,499
MEDICAL ASSISTANCE		260,000,000	355,000,000	249,000,000	415,000,000	1,279,000,000
NYC MEDICAID		-	-	-	-	-
PHYSICIAN SERVICES		-	-	-	-	-
PRIMARY CARE CASE MANAGEMENT		-	-	-	-	-
PSNL CRE WRKR RECR & RETEN NYC (***)		-	-	-	-	-
PSNL CRE WRKR RECR & RETEN ROS (****)		-	-	-	-	-
SUPPLEMENTAL MEDICAL INSURANCE		-	-	-	-	-
OFFICE OF HEALTH INSURANCE PROGRAM	**5,834,000**					
OFFICE OF HEALTH INSURANCE		68,916	175,327	102,858	68,572	415,673
OFFICE OF HEALTH SYSTEMS MANAGEMENT	**61,229,975**					
OFFICE HEALTH SYSTEMS MANAGEMENT		1,242,263	1,218,794	2,329,654	1,659,847	6,450,558
OFFICE OF LONG TERM CARE	**6,748,101**					
ADULT HOME INITIATIVE		-	-	-	-	-
ENABLE AIR CONDITIONING		-	-	-	-	-
ENABLE QUALITY OF LIFE		-	-	-	-	-
QUALITY PROG ADULT CARE FACILITIES		-	-	-	-	-
REVENUE, PROCESSING & RECONCILIATION	**4,095,000**					
REVENUE, PROCESSING & RECONCILIATION		-	1,093	468,641	189,234	658,968
TOTAL	**30,153,486,872**	**323,838,301**	**528,581,430**	**425,239,348**	**626,040,148**	**1,903,699,227**
Transfer to the General Fund - State Purposes Account (for administration of the program)	89,000					
Reclass of SUNY Hospital Disprop Share to Transfer		(1,329,292)	(435,830)	(662,262)	(126,785)	(2,554,169)
Reconciling Adjustment (P-Card and T-Card)		1,485	(484)	(99)	(125)	777
TOTAL APPROPRIATED AMOUNT	**$ 30,153,575,872**	**$ 322,510,494**	**$ 528,145,116**	**$ 424,576,987**	**$ 625,913,238**	**$ 1,901,145,835**

(*) Includes amounts appropriated in SFY 2016-17, as well as prior year appropriations that were reappropriated.
(**) Disbursements from the HCRA Resources Fund includes direct grant payments to program beneficiaries, services and expenses for administration of grant programs, and transfers to the Public Goods Pool to finance payments made by the State's fiscal agent.
(***) Full title is: NYC Personal Care Workforce Recruitment and Retention Rates Grants.
(****) Full title is: Personal Care Workforce Recruitment and Retention Rates Grants.

APPENDIX C

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2016-17

	1st Quarter APRIL - JUNE	2016 JULY	2016-17
OPENING CASH BALANCE	$ 299,817,850.44	$ 318,000,880.07	$ 299,817,850.44
RECEIPTS:			
Patient Services	814,872,120.28	188,476,958.36	1,003,349,078.64
Covered Lives	292,485,785.74	59,392,723.25	351,878,508.99
Provider Assessments	27,190,651.94	6,686,395.83	33,877,047.77
1% Assessments	93,651,580.00	29,906,767.12	123,558,347.12
DASNY- MOE/Recast receivables	-	-	-
Interest Income	46,323.73	18,915.41	65,239.14
Unassigned	(191,258.37)	(21,319.74)	(212,578.11)
Total Receipts	1,228,055,203.32	284,460,440.23	1,512,515,643.55
PROGRAM DISBURSEMENTS:			
Poison Control Centers	-	-	-
School Based Health Center Grants	-	-	-
ECRIP Distributions	-	-	-
Total Program Disbursements	-	-	-
Excess (Deficiency) of Receipts over Disbursements	1,228,055,203.32	284,460,440.23	1,512,515,643.55
OTHER FINANCING SOURCES (USES):			
Transfers From Other Pools:			
Medicaid Disproportionate Share	-	-	-
Health Facility Assessment Fund - Hospital Quality Contribution	10,063,288.00	3,510,889.00	13,574,177.00
Transfers From State Funds:			
HCRA Resources Fund	-	-	-
Total Other Financing Sources	10,063,288.00	3,510,889.00	13,574,177.00
Transfers To Other Pools:			
Medicaid Disproportionate Share	-	-	-
Health Facility Assessment Fund	-	-	-
Transfers To State Funds:			
HCRA Resources Fund	(1,074,026,803.03)	(225,025,113.93)	(1,299,051,916.96)
Indigent Care Fund (matched)	(159,632,267.81)	(191,729,594.82)	(351,361,862.63)
Indigent Care Fund (non-matched)	13,723,609.15	(858,829.17)	12,864,779.98
Total Other Financing Uses	(1,219,935,461.69)	(417,613,537.92)	(1,637,548,999.61)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	18,183,029.63	(129,642,208.69)	(111,459,179.06)
CLOSING CASH BALANCE	$ 318,000,880.07	$ 188,358,671.38	$ 188,358,671.38

Source: HCRA - Office of Pool Administration

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APPENDIX D

STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2016-17

	1st Quarter APRIL - JUNE	2016 JULY	2016-17
OPENING CASH BALANCE	$ 3,139.74	$ -	$ 3,139.74
RECEIPTS:			
Interest Income	901.20	777.11	1,678.31
Total Receipts	**901.20**	**777.11**	**1,678.31**
PROGRAM DISBURSEMENTS:			
Indigent Care	(150,207,124.26)	(191,032,138.82)	(341,239,263.08)
High Need Indigent Care	-	-	-
Other	(887,410.66)	58,694,418.83	57,807,008.17
Total Program Disbursements	**(151,094,534.92)**	**(132,337,719.99)**	**(283,432,254.91)**
Excess (Deficiency) of Receipts over Disbursements	**(151,093,633.72)**	**(132,336,942.88)**	**(283,430,576.60)**
OTHER FINANCING SOURCES (USES):			
Transfers From Other Pools:			
Public Goods Pool	-	-	-
Health Facility Assessment Fund	-	-	-
Transfers From State Funds:			
HCRA Resources Indigent Care - Matched	79,816,133.91	95,864,797.41	175,680,931.32
HCRA Resources Indigent Care - Unmatched	(8,437,132.99)	481,562.29	(7,955,570.70)
HCRA Resources Indigent Care - ATB	(25,357.85)	(1,172,080.00)	(1,197,437.85)
Federal DHHS Fund	79,816,133.90	95,864,797.41	175,680,931.31
Other	-	-	-
Total Other Financing Sources	**151,169,776.97**	**191,039,077.11**	**342,208,854.08**
Transfers To Other Pools:			
Public Goods Pool	-	-	-
Health Facility Assessment Fund	-	-	-
Transfers To State Funds:			
HCRA Resources Fund Indigent Care Acct	(79,282.99)	(58,701,357.12)	(58,780,640.11)
Total Other Financing Uses	**(79,282.99)**	**(58,701,357.12)**	**(58,780,640.11)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(3,139.74)**	**777.11**	**(2,362.63)**
CLOSING CASH BALANCE	**$ -**	**$ 777.11**	**$ 777.11**

Source: HCRA - Office of Pool Administration

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STATE OF NEW YORK
SUMMARY OF OFF-BUDGET SPENDING REPORT
FISCAL YEAR 2016-2017
(Amounts in thousands)

APPENDIX E

	2016 APRIL	2016 MAY	2016 JUNE	2016 JULY	2016 AUGUST	2016 SEPTEMBER	2016 OCTOBER	2016 NOVEMBER	2016 DECEMBER	2017 JANUARY	2017 FEBRUARY	2017 MARCH	2016-2017 TOTAL
DORMITORY AUTHORITY:													
Education - All Other	$ -	$ -	$ -										$ -
Education - EXCEL	1,748	4,817	5,133										11,698
Department of Health - All Other	-	2	38										40
Community Enhancement Facilities Assistance Program (CEFAP)	1,084	-	-										1,084
Regional Development:													
Community Capital Assistance Program (CCAP)/RESTORE	165	712	302										1,179
Multi-modal	-	-	-										-
GenNYsis	-	-	-										-
CUNY Senior Colleges	17,760	36,784	15,736										70,280
CUNY Community Colleges	995	3,479	3,603										8,077
SUNY Dormitories	64	157	10										231
Upstate Community Colleges	1,123	9,803	9,367										20,293
Mental Health	4,050	7,079	5,820										16,949
Developmental Disabilities	404	1,628	1,543										3,575
Alcoholism and Substance Abuse	158	843	278										1,279
Brooklyn Court Officer Training Academy	219	925	1,570										2,714
TOTAL DORMITORY AUTHORITY	27,770	66,229	43,400	-	-	-	-	-	-	-	-	-	137,399
EMPIRE STATE DEVELOPMENT CORP:													
Regional Development:													
Centers of Excellence	-	-	-										-
Community Capital Assistance Program (CCAP)	-	1	-										1
Empire Opportunity	-	-	-										-
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-										-
State Facilities and Equipment	-	-	-										-
TOTAL EMPIRE STATE DEVELOPMENT CORP	-	1	-	-	-	-	-	-	-	-	-	-	1
TOTAL OFF-BUDGET	$ 27,770	$ 66,230	$ 43,400	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 137,400

The Division of the Budget (DOB) is responsible for organizing and presenting the above schedule of 'Off Budget Spending'. Such reported disbursements are drawn from unaudited financial data provided by public authorities. Although the Office of the State Comptroller (OSC) has no reason to believe this information to be unreliable, it is important to note that these program disbursements are financed with public authority bond proceeds deposited directly into public authority accounts and all disbursements are made without any oversight by the OSC. Therefore, and pursuant to the provisions of Chapter 60, §16, of the Laws of 2006; this schedule is provided for information only.

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APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	April 30, 2016	May 31, 2016	June 30, 2016	Change	July 31, 2016	
	GENERAL FUND						
10050	STATE OPERATIONS AND LOCAL ASSISTANCE	$ -	$ -	$ -	$ -	$ -	(***)
	TOTAL GENERAL FUND	-	-	-	-	-	
	CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS						
30051	HIGHWAY AND BRIDGE CAPITAL	-	-	7,779,728.57	(7,779,728.57)	-	
30101	REHAB/REPAIR MARITIME	-	-	-	35,521.45	35,521.45	
30102	D21RVE- MARITIME	-	-	-	-	-	
30103	D36RVE- CENTRAL ADMIN	-	-	-	-	-	
30104	RESIDENCE HALL CAMPUS LET BOND PROCEEDS	-	-	-	-	-	
30105	REHAB/REPAIR ALBANY	-	-	-	-	-	
30106	D01RVE- ALBANY	-	-	-	-	-	
30107	REHAB/REPAIR BINGHAMTON	-	-	-	-	-	
30108	D07RVE- BINGHAMTON	-	-	-	-	-	
30109	REHAB/REPAIR BUFFALO UNIVERSITY	-	-	-	-	-	
30110	D28RVE- SUNY BUFFALO	-	-	-	-	-	
30111	REHAB/REPAIR STONYBROOK	-	-	-	-	-	
30112	D13RVE- STONYBROOK	-	-	-	-	-	
30113	REHAB/REPAIR BROOKLYN	-	-	-	-	-	
30114	D14RVE - HSC BROOKLYN	-	-	-	-	-	
30115	REHAB/REPAIR SYRACUSE	-	-	-	-	-	
30116	D15RVE- HSC SYRACUSE	-	-	-	-	-	
30117	REHAB/REPAIR BROCKPORT	-	-	-	-	-	
30118	D02RVE- BROCKPORT	-	-	-	-	-	
30119	REHAB/REPAIR BUFFALO COLLEGE	-	-	-	-	-	
30120	D03RVE -SUB BUFFALO	-	-	-	-	-	
30121	REHAB/REPAIR CORTLAND	-	-	-	-	-	
30122	D04RVE- CORTLAND	-	-	-	-	-	
30123	REHAB/REPAIR FREDONIA	-	-	-	-	-	
30124	D05RVE- FREDONIA	-	-	-	-	-	
30125	REHAB/REPAIR GENESEO	-	-	-	-	-	
30126	D06RVE- GENESEO	-	-	-	-	-	
30127	REHAB/REPAIR OLD WESTBURY	-	-	-	-	-	
30128	D31RVE- OLD WESTBURY	-	-	-	-	-	
30129	REHAB/REPAIR NEW PALTZ	-	-	-	-	-	
30130	D08RVE- NEW PALTZ	-	-	-	-	-	
30131	REHAB/REPAIR ONEONTA	-	-	-	-	-	
30132	D09RVE- ONEONTA	-	-	-	-	-	
30133	REHAB/REPAIR OSWEGO	-	-	-	-	-	
30134	D10RVE- OSWEGO	-	-	-	-	-	
30135	REHAB/REPAIR PLATTSBURGH	-	-	-	-	-	
30136	D11RVE- PLATTSBURGH	-	-	-	-	-	
30137	REHAB/REPAIR POTSDAM	-	-	-	-	-	
30138	D12RVE- POTSDAM	-	-	-	-	-	
30139	REHAB/REPAIR PURCHASE	-	-	-	-	-	
30140	D29RVE- PURCHASE	-	-	-	-	-	
30141	REHAB/REPAIR FOR UTICA/ROME	-	-	-	-	-	
30142	D27RVE- CAMPUS RESERVE	-	-	-	-	-	
30143	REHAB/REPAIR ALFRED	-	-	-	-	-	
30144	D22RVE- ALFRED	-	-	-	-	-	
30145	REHAB/REPAIR CANTON	-	-	-	-	-	
30146	D23RVE- CANTON	-	-	-	-	-	
30147	REHAB/REPAIR COBLESKILL	-	-	-	-	-	
30148	D24RVE- COBLESKILL	-	-	-	-	-	
30149	REHAB/REPAIR DELHI	-	-	-	-	-	
30150	D25RVE- DELHI	-	-	-	-	-	
30151	REHAB/REPAIR FARMINGDALE	-	-	-	-	-	
30152	D26RVE- FARMINGDALE	-	-	-	-	-	
30153	REHAB/REPAIR MORRISVILLE	-	-	-	-	-	
30154	D27RVE- MORRISVILLE	-	-	-	-	-	
30351	STATE PARK INFRASTRUCTURE	92,224,000.76	103,199,151.01	118,543,724.65	5,901,286.62	124,445,011.27	
30501	CW/CA IMPLEMENTATION DEC	-	-	-	-	-	
30502	CW/CA IMPLEMENTATION STATE	-	-	-	-	-	
30503	CW/CA IMPLEMENTATION ERDA	-	-	-	-	-	
30504	CW/CA IMPLEMENTATION EFC	-	-	-	-	-	
31506	HAZARDOUS WASTE CLEAN UP	151,498,117.93	161,176,566.50	169,902,868.47	7,847,266.54	177,750,135.01	
31701	YOUTH FACILITIES IMPROVEMENT	24,182,237.92	25,085,895.77	7,778,140.12	1,728,705.67	9,506,845.79	
31801	HOUSING ASSISTANCE	10,815,607.54	10,815,607.54	10,815,607.54	2,815,000.00	13,630,607.54	
31851	HOUSING PROG FD-HSG TR FD CORP	19,608,622.21	19,608,622.21	19,608,622.21	25,401,500.00	45,010,122.21	
31852	HOUSING PROG FD AFFORD HSG CORP	29,437,271.89	29,437,271.89	29,437,271.89	6,796,250.00	36,233,521.89	
31853	HOUSING PROG FD-DEPT OF SOCIAL SERVICES	95,556,191.61	111,326,595.97	110,636,927.07	-	110,636,927.07	
31854	HOUSING PROG FD-HFA	-	-	-	-	-	

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APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	April 30, 2016	May 31, 2016	June 30, 2016	Change	July 31, 2016
31951	HIGHWAY FAC PURPOSE	12,581,735.22	12,567,319.73	12,645,959.92	15,454.32	12,661,414.24
32213	NY RACING ACCOUNT	153,750.00	153,750.00	153,750.00	-	153,750.00
32215	IT CAPITAL FINANCING ACCT	29,480.47	46,594.92	46,611.15	17.92	46,629.07
32301	OPWDD-STATE FACILITIES PRE 12/99	-	-	-	-	-
32302	DSAS-COMMUINTY FACILITIES	-	-	-	-	-
32303	OMH-COMMUNITY FACILITIES	141,149,695.70	145,319,688.05	145,893,117.44	(801,320.07)	145,091,797.37
32304	OASAS-COMMUNITY FACILITIES	-	-	-	-	-
32305	OPWDD-COMMUNITY FACILITIES	209,514,739.11	212,784,387.15	218,484,387.15	3,730,000.00	222,214,387.15
32306	DASNY - OMH ADMIN	36,291,234.16	36,475,537.35	36,479,662.82	-	36,479,662.82
32307	DASNY - OPWDD ADMIN	2,906,639.89	2,906,639.89	5,516,639.89	-	5,516,639.89
32308	DASNY - OASAS ADMIN	753,554.67	753,554.67	753,554.67	-	753,554.67
32309	OMH -STATE FACILITIES	81,498,051.51	47,063,795.51	51,068,982.49	2,828,839.23	53,897,821.72
32310	OPWDD -STATE FACILITIES	-	-	-	-	-
32311	OASAS -STATE FACILITIES	1,693,842.93	1,759,653.38	1,778,970.38	(1,602,475.70)	176,494.68
32351	CORR. FACILITIES CAPITAL IMPROVEMENT	-	-	-	-	-
32352	DOCS-REHABILITATION PROJECTS	44,208,917.55	63,490,929.65	44,179,748.32	22,262,198.60	66,441,946.92
33001	STORM RECOVERY ACCOUNT	50,842,498.21	54,134,551.17	55,560,010.08	(4,483,522.88)	51,076,487.20
	TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS	1,004,946,189.28	1,038,106,112.36	1,047,064,284.83	64,694,993.13	1,111,759,277.96
	STATE SPECIAL REVENUE FUNDS					
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	13,565,473.75	-	8,294,836.49	15,540,089.10	23,834,925.59
20818	EPIC PREMIUM ACCOUNT	-	-	6,964,230.67	(1,303,293.38)	5,660,937.29
20901	LOTTERY-EDUCATION	-	-	-	-	-
20904	VLT EDUCATION	-	-	-	-	-
21001	ENVIR FAC CORP ADM ACCT	-	-	-	-	-
21002	ENCON ADMIN ACCT	2,478,893.32	3,703,245.38	3,937,938.13	138,266.64	4,076,204.77
21061	HAZARDOUS BULK STORAGE	-	-	-	-	-
21065	FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT	-	360,880.65	1,358,365.80	651,217.91	2,009,583.71
21066	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	4,013,194.71	4,279,283.68	4,418,630.19	(497,959.89)	3,920,670.30
21067	ENCON-RECREATION	10,487,430.05	10,540,072.58	10,248,517.17	(1,011,457.04)	9,237,060.13
21077	PUBLIC SAFETY RECOVERY ACCOUNT	-	-	-	-	-
21081	ENVIRONMENTAL REGULATORY	28,698,272.79	32,079,319.82	32,218,470.80	(803,705.24)	31,414,765.56
21082	NATURAL RESOURCES ACCOUNT	18,384,141.13	18,385,407.15	18,322,779.81	(766,998.58)	17,555,781.23
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	40,505.41	149,473.69	200,546.61	43,464.65	244,011.26
21202	HEALTH DEPT OIL SPILL	13,722.96	50,225.06	76,757.73	13,715.05	90,472.78
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	979,556.35	3,223,838.00	4,545,362.83	894,769.49	5,440,132.32
21204	OIL SPILL COMPENSATION	-	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	3,524,771.27	-	-	-	-
21402	METROPOLITAN MASS TRANSPORTATION	-	-	-	-	-
21451	OPERATING PERMIT PROGRAM	19,585,014.57	20,400,287.99	21,317,194.84	401,058.14	21,718,252.98
21452	MOBILE SOURCE	-	-	-	-	-
21902	HEALTH-SPARC'S	-	-	-	-	-
21905	THRUWAY AUTHORITY ACCT	-	-	8,371,336.25	2,589,650.62	10,960,986.87
21907	MENTAL HYGIENE PROGRAM	138,137,149.95	-	-	-	-
21909	MENTAL HYGIENE PATIENT INCOME ACCOUNT	9,273,931.44	-	-	-	-
21911	FINANCIAL CONTROL BOARD	94,109.31	368,010.26	595,625.18	(453,842.51)	141,782.67
21912	RACING REGULATION ACCOUNT	5,876,975.80	5,941,043.57	6,261,055.63	(433,304.12)	5,827,751.51
21913	NY METROPOLITAN TRANSPORTATION COUNCIL	19,186,005.47	20,050,602.14	17,164,549.34	(761,484.00)	16,403,065.34
21937	SU DORM INCOME REIMBURSE	118,628.55	154,681.79	530,020.04	(137,984.14)	392,035.90
21945	CRIMINAL JUSTICE IMPROVEMENT	-	-	-	-	-
21959	ENV LAB REF FEE	-	-	-	-	-
21962	CLINICAL LAB FEE	11,747,039.88	12,711,830.57	13,437,945.40	(2,035,057.00)	11,402,888.40
21978	INDIRECT COST RECOVERY	142,603.81	-	-	257,835.36	257,835.36
21979	HIGH SCHOOL EQUIVALENCY PROGRAM	-	-	-	-	-
21989	MULTI - AGENCY TRAINING ACCOUNT	-	-	-	-	-
22003	BELL JAR COLLECTION ACCOUNT	-	-	16,064.18	43,985.60	60,049.78
22004	INDUSTRY AND UTILITY SERVICE	-	-	-	-	-
22006	REAL PROPERTY DISPOSITION	826,480.13	840,047.33	860,499.39	26,961.90	887,461.29
22007	PARKING ACCOUNT	46,816.44	-	-	-	-
22009	ASBESTOS SAFETY TRAINING	180,815.73	205,723.13	218,180.56	(29,396.06)	188,784.50
22032	BATAVIA SCHOOL FOR THE BLIND	5,937,459.16	7,148,922.77	7,335,375.84	(2,208,715.45)	5,126,660.39
22034	INVESTMENT SERVICES	-	-	-	-	-
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-
22039	FINANCIAL OVERSIGHT	189,096.98	382,872.82	932,434.76	(754,114.85)	178,319.91
22046	REGULATION INDIAN GAMING	67,126,224.00	68,647,088.38	60,819,235.04	(599,903.01)	60,219,332.03
22053	ROME SCHOOL FOR THE DEAF	43,986.46	148,848.09	1,075,274.22	(942,197.62)	133,076.60
22054	DSP-SEIZED ASSETS	11,098,931.12	10,953,828.51	8,654,245.04	(84,887.17)	8,569,357.87

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APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	April 30, 2016	May 31, 2016	June 30, 2016	Change	July 31, 2016
22055	ADMINISTRATIVE ADJUDICATION	4,702,330.22	2,565,087.29	1,889,782.35	(1,599,731.57)	290,050.78
22056	FEDERAL SALARY SHARING	194,186.03	470,086.70	609,734.03	184,070.96	793,804.99
22062	NYC ASSESSMENT ACCT	-	-	-	-	-
22063	CULTURAL EDUCATION ACCOUNT	2,933,950.75	3,928,552.08	3,494,748.96	(869,021.17)	2,625,727.79
22078	LOCAL SERVICE ACCOUNT	241,615.20	289,690.46	449,018.03	48,205.26	497,223.29
22085	DHCR MORTGAGE SERVICES	3,708,799.43	4,082,894.46	4,647,626.58	398,156.27	5,045,782.85
22087	DMV-COMPULSORY INS PRGM	1,317,648.58	1,955,337.34	646,762.72	-	646,762.72
22090	HOUSING INDIRECT COST RECOVERY	7,682,295.14	2,927,205.08	3,321,780.02	286,756.02	3,608,536.04
22100	DHCR-HOUSING CREDIT AGENCY APPLY FEE	440,108.31	217,477.87	451,290.00	50,255.17	501,545.17
22130	LOW INCOME HOUSING CREDIT MONITORING	-	-	-	-	-
22135	EFC-CORPORATION ADMINISTRATION	-	-	-	-	-
22144	MONTROSE VETERAN'S HOME	-	-	-	-	-
22151	DEFERRED COMPENSATION ADMIN	104,923.34	52,784.67	91,811.33	31,884.59	123,695.92
22156	RENT REVENUE OTHER - NYC	15,861,009.09	1,043,819.27	4,349,598.58	(4,349,598.58)	-
22158	RENT REVENUE	816,253.13	845,478.34	853,261.39	(153,674.36)	699,587.03
22168	TAX REVENUE ARREARAGE ACCOUNT	-	-	-	-	-
22654	S.U. NON-RESIDENT REV. OFFSET	19,444,345.39	19,450,416.26	19,457,957.42	7,479.75	19,465,437.17
22751	LAKE GEORGE PARK TRUST FUND	-	-	-	-	-
22802	STATE POLICE MV ENFORCE	-	-	-	-	-
23001	DOT - HIGHWAY SAFETY PRGM	8,023,473.93	8,055,568.84	8,336,737.24	80,461.31	8,417,198.55
23101	EFC DRINKING WATER PROGRAM	-	-	-	-	-
23102	DOH DRINKING WATER PROGRAM	5,736,179.08	6,048,175.83	5,984,237.62	-	5,984,237.62
23151	NYCCC OPERATING OFFSET	26,342,486.44	29,040,681.87	32,063,246.87	2,286,759.51	34,350,006.38
23701	COMMERCIAL GAMING REVENUE	-	-	-	-	-
23702	COMMERCIAL GAMING REGULATION	5,371,441.34	5,524,951.87	5,742,861.66	52,141.74	5,795,003.40
	TOTAL STATE SPECIAL REVENUE FUNDS	**474,718,275.94**	**307,223,741.59**	**330,565,926.74**	**4,230,859.30**	**334,796,786.04**
	FEDERAL FUNDS					
25000-25099	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	79,745,391.31	9,505,144.35	8,406,449.76	2,061,539.64	10,467,989.40
25100-25199	FEDERAL HEALTH AND HUMAN SERVICES FUND	282,947,572.73	609,156,954.80	211,857,112.37	(21,800,269.14)	190,056,843.23
25200-25249	FEDERAL EDUCATION GRANTS FUND	42,932,939.63	18,777,934.75	7,248,015.03	4,247,950.01	11,495,965.04
25300-25899	FEDERAL OPERATING GRANTS FUND	379,543,929.22	344,884,009.54	342,474,625.73	(4,239,960.33)	338,234,665.40
31351	MILITARY AND NAVAL AFFAIRS	6,979,157.16	6,982,327.77	7,003,440.77	56,506.00	7,059,946.77
31354	DEPARTMENT OF TRANSPORTATION	397,334,399.70	381,537,564.49	382,175,659.36	24,025,168.77	406,200,828.13
31350-31449	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	111,310,813.13	124,074,996.47	49,070,288.02	15,451,714.52	64,522,002.54
25900-25949	UNEMPLOYMENT INSURANCE ADMINISTRATION	4,674,792.94	12,099,077.97	13,674,553.42	(160,508.29)	13,514,045.13
25950	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	-	-	-	-	-
26001-26049	DOL EMPLOYMENT AND TRAINING GRANTS	806,147.46	954,061.67	4,828,639.15	1,945,910.20	6,774,549.35
	TOTAL FEDERAL FUNDS	**1,306,275,143.28**	**1,507,972,071.81**	**1,026,738,783.61**	**21,588,051.38**	**1,048,326,834.99** (**)
	AGENCY FUNDS					
60201	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-
60901	MMIS - STATE AND FEDERAL	-	-	-	-	-
	TOTAL AGENCY FUNDS	**-**	**-**	**-**	**-**	**-**
	ENTERPRISE FUND					
50318	OGS CONVENTION CENTER ACCOUNT	-	-	-	-	-
50327	EMPIRE PLAZA GIFT SHIP	-	-	-	12,580.89	12,580.89
	TOTAL ENTERPRISE FUND	**-**	**-**	**-**	**12,580.89**	**12,580.89**
	INTERNAL SERVICE FUNDS					
55001	CENTRALIZED SERVICES-FLEET MGMT	1,310,948.95	1,141,068.38	1,315,834.80	103,766.90	1,419,601.70
55002	CENTRALIZED SERVICES-DATA PROCESSING	-	-	-	-	-
55003	CENTRALIZED SERVICES-PRINTING	3,287,038.46	2,982,982.56	2,757,675.91	(115,976.93)	2,641,698.98
55004	CENTRALIZED SERVICES-REAL PROPERTY-LABOR	251,164.44	402,709.80	-	24,401.84	24,401.84
55005	CENTRALIZED SERVICES-DONATED FOODS	314,769.90	-	-	-	-
55006	CENTRALIZED SERVICES-PERSONAL PROPERTY	-	-	-	-	-
55007	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	322,963.00	276,484.70	566,164.30	(339,968.82)	226,195.48
55008	CENTRALIZED SERVICES-PASNY	16,750,834.84	20,339,280.51	19,879,908.63	(2,653,383.68)	17,226,524.95
55009	CENTRALIZED SERVICES-ADMIN SUPPORT	-	-	-	-	-
55010	CENTRALIZED SERVICES-DESIGN AND CONSTR	-	-	-	-	-
55011	CENTRALIZED SERVICES-INSURANCE	779,280.39	-	-	-	-
55012	CENTRALIZED SERVICES-SECURITY CARD ACCESS	103,324.71	101,047.21	179,512.21	(12,765.50)	166,746.71
55013	CENTRALIZED SERVICES-COP'S	-	-	-	-	-
55014	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-
55015	CENTRALIZED SERVICES-HOMER FOLKS	-	-	-	-	-
55016	CENTRALIZED SERVICES-IMMICS	26,961.54	26,961.54	26,961.54	-	26,961.54
55017	DOWNSTATE WAREHOUSE	251,564.72	407,381.27	599,990.99	(19,008.70)	580,982.29
55018	BUILDING ADMINISTRATION	-	-	-	-	-
55019	LEASE SPACE INITIATIVE	-	-	-	-	-
55020	OGS ENTERPRISE CONTRACTING ACCT	44,284,016.27	35,581,741.94	39,042,427.44	438,558.10	39,480,985.54
55021	NYS MEDIA CENTER	3,801,623.66	3,924,507.63	3,974,079.91	151,296.25	4,125,376.16

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	April 30, 2016	May 31, 2016	June 30, 2016	Change	July 31, 2016
55022	BUSINESS SERVICES CENTER	193,088.08	-	-	-	-
55052	ARCHIVES RECORD MGMT I.S.	35,053.90	-	-	-	-
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	-	-	-	-	-
55057	BANKING SERVICES ACCOUNT	99,517.81	19,202.97	239,912.22	(222,541.03)	17,371.19
55058	CULTURAL RESOURCE SURVEY	3,053,476.32	3,590,254.15	3,986,495.98	124,455.27	4,110,951.25
55060	AUTOMATIC/PRINT CHARGBACKS	-	1,412,819.67	2,854,245.50	(1,116,182.58)	1,738,062.92
55061	OFT NYT ACCT	3,926,442.59	3,910,747.97	5,669,746.06	40,327.74	5,710,073.80
55062	DATA CENTER ACCOUNT	47,594,538.73	52,387,777.73	52,387,777.73	(49,225.24)	52,338,552.49
55066	CYBER SECURITY INTRUSION ACCT	1,261,584.27	1,261,584.27	1,261,584.27	-	1,261,584.27
55067	DOMESTIC VIOLENCE GRANT	188,395.97	100,459.24	94,519.05	46,205.18	140,724.23
55069	CENTRALIZED TECHNOLOGY SERVICES	64,435,468.98	76,142,113.96	74,186,236.34	(2,256,974.81)	71,929,261.53
55071	LABOR CONTACT CENTER ACCT	52,615.69	266,662.08	449,003.98	85,535.67	534,539.65
55072	HUMAN SERVICES CONTACT CNTR ACCT	1,051,988.26	1,506,171.55	2,590,161.63	(1,989,439.72)	600,721.91
55073	TAX CONTACT CENTER ACCT	-	-	-	-	-
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	3,393,521.79	3,562,203.93	4,098,577.26	166,352.41	4,264,929.67
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	-	-	1,237,412.89	1,202,942.84	2,440,355.73
55300	HEALTH INSURANCE INTERNAL SERVICE	6,556,045.56	8,012,861.67	8,351,918.23	892,667.56	9,244,585.79
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	6,778,702.21	7,118,842.12	7,320,524.00	133,659.21	7,454,183.21
55350	CORR INDUSTRIES INTERNAL SERVICE	18,713,215.86	23,821,462.61	25,002,455.88	(719,312.80)	24,283,143.08
	TOTAL INTERNAL SERVICE FUNDS	228,818,146.90	248,297,329.46	258,073,126.75	(6,084,610.84)	251,988,515.91
	GRAND TOTAL - TEMPORARY LOANS OUTSTANDING	$ 3,014,757,755.40	$ 3,101,599,255.22	$ 2,662,442,121.93	$ 84,441,873.86	$ 2,746,883,995.79

(*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 54, Part UU, Section 1, of the Laws of 2016-17. The loans represent authorizations made by the Legislature to allow certain funds/accounts to make appropriated payments regardless of the fund (cash) balance Such loans are made from the State's Short-Term Investment Pool (STIP) and are intended to satisfy temporary cash shortfalls whenever scheduled disbursements exceed available revenues during the fiscal year. Generally, temporary loans are repaid from the first cash receipts of the fund or account; however, in some cases actual revenues are not sufficient to repay all loans made to the fund or account and a transfer from the General Fund "Repayment of Receivables" appropriation is approved by the Budget Director The balances reported here in Appendix F are the actual fund balances as of the close of business on the last day of the reporting month and do not include post-closing adjustments Please refer to Schedule 1 for a detailed analysis of the 'reported' cash balances of the fund group.

(**) Temporary loans to federal funds are typically reimbursed within 2-3 days. Such loans are made pursuant to federal regulations which require the State to disburse funds prior tc making a reimbursement claim from the U.S. Treasury.

(***) Per Section 72 of the State Finance Law, the General Fund includes the Local Assistance Fund (10000) and State Purpose Fund (10050).

STATE OF NEW YORK
DEDICATED INFRASTRUCTURE INVESTMENT FUND (*)
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-17

APPENDIX G

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	4 Months Ended July 31, 2016
OPENING CASH BALANCE	$ 110,333,290	$ 102,733,518	$ 137,375,142	$ 155,295,707									$ 110,333,290
RECEIPTS:													
Transfers from General Fund (**)	40,000,000	100,000,000	98,550,000	125,000,000									363,550,000
Total Receipts	40,000,000	100,000,000	98,550,000	125,000,000	-	-	-	-	-	-	-	-	363,550,000
DISBURSEMENTS:													
Broadband Initiative	-	1,395	14,305	12,360									28,060
Health Care / Hospital Initiatives	-	-	-	-									-
Infrastructure Improvements	159,949	1,997,342	13,030,085	2,512,984									17,700,360
Municipal Restructuring	-	1,909,118	205,840	410,631									2,525,589
Penn Station Access	-	-	-	-									-
Resiliency, Mitigation, Security and Emergency Response	1,340,487	2,853,343	8,001,370	7,403,988									19,599,188
Southern Tier / Hudson Valley Farm Initiative	-	32,914	-	5,875									38,789
Thruway Stabilization Program	46,099,336	58,564,264	59,377,835	24,355,216									188,396,651
Transformative Economic Development Projects	-	-	-	-									-
Upstate Revitalization Program	-	-	-	-									-
Total Disbursements	47,599,772	65,358,376	80,629,435	34,701,054	-	-	-	-	-	-	-	-	228,288,637
OPERATING TRANSFERS:													
Transfers to General Fund	-	-	-	-									-
Total Operating Transfers	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Disbursements and Transfers	47,599,772	65,358,376	80,629,435	34,701,054	-	-	-	-	-	-	-	-	228,288,637
CLOSING CASH BALANCE	$ 102,733,518	$ 137,375,142	$ 155,295,707	$ 245,594,653	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 245,594,653

(*) Fund created pursuant to Chapter 60, Laws of 2015-16, Part H and SFL § 93-b

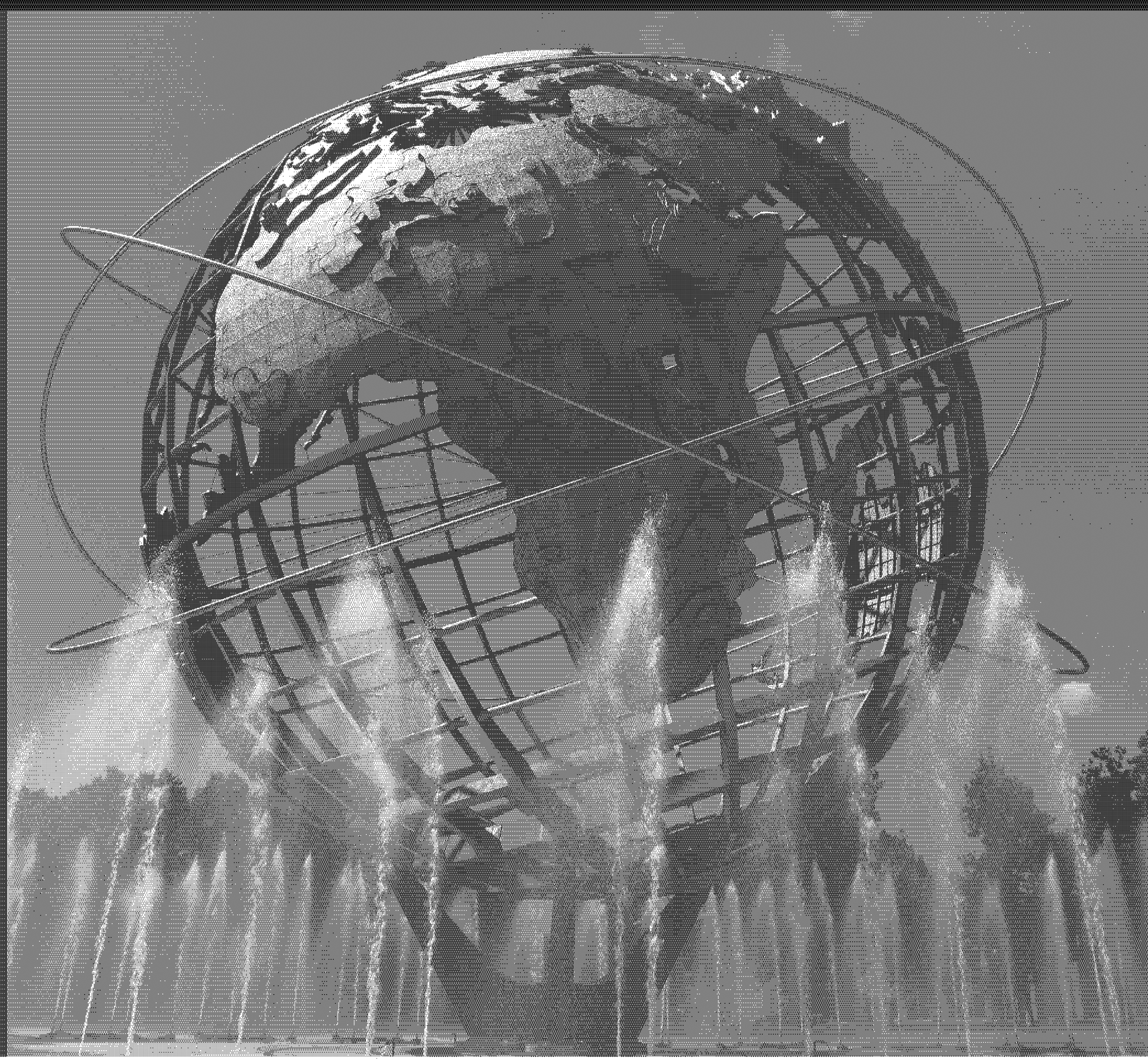
(**) Pursuant to Chapter 54, Laws of 2016-17, Part UU

STATE OF NEW YORK

Interim Financial Report
Governmental Funds

For the three months ended June 30, 2016

(Pursuant to Section 8(9a) of the State Finance Law)



Office of the New York State Comptroller
Thomas P. DiNapoli, Comptroller

Bureau of Financial Reporting and Oil Spill Remediation

STATE OF NEW YORK
Combined Balance Sheet
Governmental Funds
June 30, 2016
(Amounts in thousands)(Unaudited)

	General	Federal Special Revenue	Special Revenue	Debt Service	Capital Projects
ASSETS:					
Cash and investments	$ 7,210,027	$ 513,331	$ 3,658,751	$ 1,747,605	$ 1,960,754
Receivables, net of allowances for uncollectibles:					
Taxes	6,174,523	-	122,739	1,906,167	63,675
Due from Federal government	-	6,930,372	-	3,701	473,231
Other	951,020	566,197	632,611	132,939	187,286
Due from other funds	2,118,846	53,971	20,585	255,151	7,195
Other assets	1,729,458	30,146	9,300	-	7,315
Total assets	$ 18,183,874	$ 8,094,017	$ 4,443,986	$ 4,045,563	$ 2,699,456
LIABILITIES:					
Tax refunds payable	$ 5,907,685	$ -	$ 125,989	$ 1,525,641	$ 22,542
Accounts payable	86,559	49,307	1,698	8,633	110,333
Accrued liabilities	2,015,002	2,480,430	15,929	9,134	37,509
Payable to local governments	3,088,502	3,313,313	3,243,066	150,430	58,426
Due to other funds	3,211,222	823,652	135,194	279,926	1,212,571
Pension contributions payable	319,338	-	-	-	-
Unearned revenues	86,115	657,505	-	3,585	516
Total liabilities	14,714,423	7,324,207	3,521,876	1,977,349	1,441,897
DEFERRED INFLOWS OF RESOURCES	813,788	754,987	96,145	126,187	17,277
FUND BALANCES:					
Restricted	67	14,823	341,354	1,392,045	143,654
Committed	763,562	-	1,405,755	549,982	1,431,147
Assigned	1,771,904	-	2,891,160	-	26,977
Unassigned	120,130	-	(3,812,304)	-	(361,496)
Total fund balances	2,655,663	14,823	825,965	1,942,027	1,240,282
Total liabilities, deferred inflows of resources and fund balances	$ 18,183,874	$ 8,094,017	$ 4,443,986	$ 4,045,563	$ 2,699,456

See accompanying notes to the financial statements.

STATE of NEW YORK
Combined Statement of Revenues, Expenditures and Changes in Fund Balances
Governmental Funds
For the Three Months Ended June 30, 2016
(Amounts in thousands)(Unaudited)

	General	Federal Special Revenue	Special Revenue	Debt Service	Capital Projects
REVENUES:					
Taxes	$ 9,707,471	$ -	$ 1,415,096	$ 5,296,402	$ 302,018
Federal grants	809	13,432,846	-	-	392,152
Miscellaneous	1,041,612	40,264	1,177,716	28,607	165,178
Total revenues	10,749,892	13,473,110	2,592,812	5,325,009	859,348
EXPENDITURES:					
Local assistance grants	12,674,300	12,402,840	7,031,123	-	504,137
State operations	4,174,395	501,971	117,944	3,318	-
Debt service, including payments on financing arrangements	-	-	-	1,696,835	-
Capital construction	-	-	-	-	1,209,881
Total expenditures	16,848,695	12,904,811	7,149,067	1,700,153	1,714,018
Excess (deficiency) of revenues over expenditures	(6,098,803)	568,299	(4,556,255)	3,624,856	(854,670)
OTHER FINANCING SOURCES (USES):					
Transfers from other funds	5,689,507	449	1,058,062	690,288	450,224
Transfers to other funds	(2,258,632)	(568,195)	(20,322)	(5,701,028)	(193,802)
Net other financing sources (uses)	3,430,875	(567,746)	1,037,740	(5,010,740)	256,422
Special item - State Insurance Fund reserve release	250,000	-	-	-	-
Net change in fund balances	(2,417,928)	553	(3,518,515)	(1,385,884)	(598,248)
Fund balances at beginning of period	5,073,591	14,270	4,344,480	3,327,911	1,838,530
Fund balances at June 30, 2016	$ 2,655,663	$ 14,823	$ 825,965	$ 1,942,027	$ 1,240,282

See accompanying notes to the financial statements.

STATE OF NEW YORK
Notes to Financial Statements
June 30, 2016 (Unaudited)

NOTE 1

The accounting policies and methods of estimating and accumulating financial data for preparation of the June 30, 2016 interim financial statements for governmental fund types are similar to those used to prepare the March 31, 2016 governmental fund financial statements.

NOTE 2

Within the governmental funds, transfers to other funds exceeded transfers from other funds by $853 million. Subsidies to the State University of New York and the Senior Colleges of the City University of New York totaling $1,683 million are reported as transfers to other funds offset by $830 million in Enterprise Funds subsidies which are reported as transfers from other funds.

NOTE 3

The following table presents a reconciliation of the budgetary cash basis operating results for the three months ended June 30, 2016 as reported in the State Register, with the operating results for Governmental Fund Types prepared in accordance with generally accepted accounting principles (amounts in thousands):

	General	Federal Special Revenue	Special Revenue	Debt Service	Capital Projects
Excess (deficiency) of receipts and other financing sources over (under) disbursements and other financing uses	$ (1,723,900)	$ 263,600	$ 1,425,600	$ 206,200	$ 238,800
Entity differences:					
Receipts and other financing sources over (under) disbursements and other financing uses for funds and accounts not included in the cash basis financial plan	(767,667)	(60,088)	(296,758)	(697,471)	(674,575)
Perspective differences:					
Receipts and other financing sources over (under) disbursements and other financing uses of the Miscellaneous Special Account, Infrastructure Trust Account, Child Performer's Protection Account and Charter Schools Stimulus Account, which are treated as Special Revenue Funds in the financial plan and as part of the General Fund for GAAP reporting	352,130	-	(352,130)	-	-
College and University Funds	-	-	(170,415)	-	(22,300)
Lottery Fund	-	-	(581,839)	-	-
Temporary interfund cash loans	211,684	(148,919)	(7,434)	-	(55,331)
Basis of accounting differences:					
To adjust for revenue accruals	(2,594,106)	46,288	(558,039)	(1,564,550)	(218,233)
To adjust for expenditure accruals	2,103,931	(100,328)	(2,977,500)	669,937	133,391
Net change in fund balances	**$ (2,417,928)**	**$ 553**	**$ (3,518,515)**	**$ (1,385,884)**	**$ (598,248)**

STATE OF NEW YORK
Notes to Financial Statements
June 30, 2016 (Unaudited) (cont'd)

NOTE 4

During the three months ended June 30, 2016 there were no debt refunding issues.

NOTE 5

Significant transactions or other events within the control of management that are either unusual in nature or infrequent in occurrence are reported as special items in the governmental fund financial statements. Reforms to Workers' Compensation Law effective January 1, 2014, changed the basis for determining assessments and charges resulting in the elimination of reserves. Likewise, Chapter 57 of the Laws of 2013 required that the amount of the eliminated reserves ($1.75 billion) were to be transferred by the State Insurance Fund to the Workers' Compensation Board for distribution to the General Fund in specified amounts over a series of fiscal years. As of June 30, 2016, all distributions from the Workers' Compensation Board have been released to the General Fund.

Office of the New York State Comptroller

Thomas P. DiNapoli, State Comptroller

Office of Operations – Division of Payroll, Accounting and Revenue Services

John C. Traylor, Executive Deputy Comptroller

Christopher M. Gorka, Deputy Comptroller

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Gregg Cerio, Associate Accountant
Maria Moran, CPA, CGFM, Associate Accountant
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Paula Walker, Associate Accountant
Laura Hennessey, Accountant Trainee 2
James DeLessio, Accountant Aide Trainee 2

Cash Reporting and Reconciliations

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Laura Canham-Lunde, Associate Accountant
Bo Jiang, Associate Accountant
Stephen Raptoulis, CPA, Associate Accountant
Christopher Tuohy, Associate Accountant
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Peter Salony, CPA, Senior Accountant
Cara Jo Vettovalli, Senior Accountant
Kelly Nadeau, Accountant Trainee 2
Brenda Carver, CPA, CBA, DBA,
Business Systems Analyst 2

APPENDIX

The following Appendix was filed with a Notice of Proposed Rule Making pertaining to Program Rules for New York State Grown & Certified, I.D. AAM-35-16-00017-P published in this issue of the State Register.

PRODUCE

DAIRY

PACKAGED GOODS